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# Report to The President and the Secretary of Defense on the Department of Defense

BY THE  
Blue Ribbon Defense Panel



## APPENDIX B

Missions and Functions  
of  
Washington Headquarters Staffs

July 1970

## PREFACE

**During** the Blue Ribbon Defense Panel's study of the Department of Defense, its staff prepared and submitted to the Panel in February 1970 a study of the Missions and Functions of the Washington Headquarters Staff.

This staff report is considered to be of sufficient interest to top-management personnel of the Department of Defense to be included as an Appendix to the Panel's Report. However, your attention is invited to Page 20 of the Panel's Report which states that Staff Reports are being printed as information, without necessarily implying endorsement by the Panel of each of their conclusions and recommendations.

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## CHAPTER I

### MISSIONS AND FUNCTIONS OF SERVICE SECRETARIES, SECRETARIATS AND SERVICE

The Service Secretaries and Chiefs of Military Services were retained after World War II, at a time when the Office of the Secretary of Defense (OSD) was established and the Joint Staff/Joint Chiefs of Staff were continued in existence. The separateness of Service Secretariats from the military staffs at military department headquarters also continued to exist. With nine staffs (OSD, OJCS, three Secretariats, four military staffs) in three layers at Washington Headquarters level, some serious organizational and general management problems have developed.

1. General. In defining the roles of the Secretariats and Staffs, it is first advisable to clarify internal relationships and terminology. The relationship between each Service Secretary and his staff (Secretariat) is discussed in paragraph a, below. The remainder of this paragraph and paragraph 2 concern clarification of terminology used in U.S. Code and other functional statement documents. The U.S. Code, for example, uses the terms "duties" and "functions" very loosely and in general fails to distinguish between mission (objectives to be attained) and functions (actions, often repetitive, taken in order to attain objectives).

a. Service Secretary-Secretariat Relationship: The "office" of a Service Secretary (Secretariat) is an extension of the person of the Service Secretary. The Secretariat does for the Secretary what the Secretary would do if he had more time. Under this concept of the relationship between the Secretary and the Secretariat, the missions and functions of the Secretary (with the exception of personal functions, such as delegating his authority) are also the missions and functions of the Secretariat, for the subject areas assigned to the Secretariat. In other words, the Secretary and his Secretariat (with the exception of a few personal functions reserved to the Secretary and the subject areas addressed only by the lower military Staff) are an entity and cannot be divided with respect to missions and functions. Ultimate responsibility for his missions, of course, remains with the Secretary.

b. Mission of Service Secretary/Secretariat. The missions of the Service Secretary/Secretariat are found in U.S. Code, Title 10. In the extract of Section 3012, Title 10, below, the basic mission of the

Secretary of the Army is underlined:

"(b) The Secretary is responsible for and has the authority necessary to conduct all affairs of the Department of the Army, including -

(1) functions necessary or appropriate for the training, operations, administration, logistic support and maintenance, welfare, preparedness, and effectiveness of the Army, including research and development;

(2) direction of the construction, maintenance, and repair of buildings, structures, and utilities for the Army;

(3) acquisition of all real estate and the issue of licenses in connection with Government reservations;

(4) operation of the water, gas, electric and sewer utilities, and

(5) such other activities as may be prescribed with the President and the Secretary of Defense as authorized by law.

He shall perform such other duties...as the President or the Secretary of Defense may prescribe...."

In the foregoing, the mission of the Secretary of the Army is associated with the phrase "is responsible for." In general, the Secretary of the Army is responsible for the attainment of certain objectives or end-conditions (e.g., an adequately trained\* and logistically and administratively supported Army; properly constructed and maintained buildings; properly acquired real estate; and properly operated utilities). As will be discussed in paragraph d below, the Secretary is permitted almost complete discretion as to his functioning (actions taken repetitively).

c. Personal Functions of the Secretary. Personal functions are functions only the Secretary has. The authority granted by U.S. Code for a Service Secretary to delegate authority to his subordinates is a personal function of the Secretary. Most personal functions are administrative in nature. For example, in 10 USC 3012 (c): "The Secretary may assign [action verb] such of his duties as he considers appropriate to the Under Secretary of the Army and to the Assistant Secretaries of the Army."

d. Functions of the Secretary/Secretariat. In Webster's dictionary, the word "function" is defined as "the normal or characteristic

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\*Although US Code gives the Service Secretaries the "training" mission, a Unified Command (US Strike Command) is responsible for joint training and joint maneuvers in CONUS.

action of anything" (Emphasis added). This definition of the word function is helpful in that it distinguishes between "function" and "mission." Statements of functions are characterized by action verbs. They describe the manner in which the manager and his staff act, on a continuous basis, in order to accomplish their mission (attain their objectives). U.S. Code has considerable detail on the "duties" of the Service Secretaries, but mostly these are missions. The Code, generally does not prescribe the functions of a Secretary/Secretariat except with respect to the Secretary's personal functions (i.e., delegating his own authority and changing subordinate's job titles). This avoidance of prescribing Secretary/Secretariat functioning in detail is depicted in the following typical phrase from 10 USC 3012:

"The Secretary is responsible for and has the authority necessary to conduct all affairs of the Army, including (1) functions necessary or appropriate for the training, operations, administration,..." (Emphasis added).

In sum, U.S. Code uses the terms "duties" (and sometimes "functions") to cover a mixture of assigned missions and functions (the latter usually being personal functions). Missions of defense managers are prescribed in U.S. Code, but the functions, except for personal functions, generally are not.

To add to the confusion, U.S. Code uses the words "duties" and "functions" interchangeably. For example, in 10 USC 3036, the title of the Section includes the word "duties," but the remainder of the Section uses the word "functions" several times, apparently as a synonym. For clarity, however, it is desirable to distinguish between missions and functions, and the next paragraph provides definitions which will apply hereafter.

2. Definitions: To provide clarity in the remainder of this analysis the following definitions are provided:

a. Mission. Specific or implied objectives/end-conditions to be attained by an organization in specified subject areas. (Associated with nonaction verbs, as "is responsible for" and "insures that.")

b. Function(ing). The actions, often repetitive, taken by a manager or his staff in specified subject areas in order to fulfill the mission (attain objectives). (Associated with action verbs, as "Develops and provides broad policy and broad objectives..." "Monitors...", "Takes corrective action...")

3. Missions and Powers of Service Secretaries:

a. General. As discussed above, U.S. Code assigns missions and some functions (which are called "duties" and "functions"). In general, U.S. Code does not prescribe functions. It fails to provide guidance to Service Secretaries as to whether they are to have a broad policy role or are to get involved in detail. Another way of describing



the situation is that U.S. Code, in general, names the organization and specifies the subject areas for which each Service Secretary "is responsible" (and thus implies his missions). The Code leaves to him discretion as to how he will act in order to be a successful manager.

b. U.S. Code-Secretary Level. The Secretary of the Air Force has a mission statement in U.S. Code that is identical to that of the Secretary of the Army, with the exception that "Air Force" is substituted for "Army." Enclosure 1 has the mission statements of the Secretary of the Army (10 USC 3012), Secretary of the Air Force (10 USC 8012), and the Secretary of the Navy (10 USC 5031). The mission statement of the Secretary of the Navy is worded differently from those of the two other Secretaries, but the implied mission is the same. He is responsible for the efficient management of his service.

c. U.S. Code - below Secretary Level. For selected areas, Congress goes one or more levels below the Service Secretaries and specifies the subject areas to be addressed by a particular office. For examples, except for the name of the service, the same subject areas ("matters") are specified for the comptrollers of each service.

d. Powers of Service Secretaries.

(1) The Service Secretaries have the right to assign "duties" to subordinates. (e.g., 10 USC 8014: "The Secretary, as he considers appropriate, may assign, detail, and prescribe the duties of the members of the Air Force and civilian personnel of the Department of the Air Force").

(2) The Comptroller area illustrates the discretion authorized by U.S. Code and exercised by the Secretaries. Possibly because of a desire to have a single point of contact in each service in the subject areas involved, Congress has specified the subject areas to be addressed by the Comptroller of each service. The subject areas used in describing the overall missions of Service Secretary are closely related to the end-conditions to be obtained in the field (e.g., trained and logistically supported forces). In the case of the Comptrollers, however, Congress uses subject area terms that are more closely related to staff activities (e.g., budgeting). The specifying in 10 USC 8014 (below) of subject areas to be addressed by the Comptroller of the Air Force is illustrative of this point.

"Section 8014. Comptroller of the Air Force: appointment; functions

a. Subject to the authority, direction, and control of the Secretary of Defense, the Secretary of the Air Force shall have the following matters in the Department of the Air Force organized and conducted consistently with the operations of the Office of

the Comptroller of the Department of Defense:

- (1) Budgeting.
  - (2) Accounting.
  - (3) Progress and statistical reporting.
  - (4) Internal audit.
  - (5) Administrative organization structure, and managerial procedures relating to the matters covered by clauses (1)-(4).
- b. There are a Comptroller of the Air Force and a Deputy Comptroller of the Air Force in the Department of the Air Force. They shall be appointed by the Secretary of the Air Force. The Secretary may appoint either civilian or military personnel to these offices. If either the Comptroller or the Deputy Comptroller is not a civilian, the other must be a civilian.
- c. Subject to the authority of the Secretary of the Air Force, the Comptroller is responsible for the matters in the Department of the Air Force named in subsection (a) (1)-(5).
- d. The Comptroller is under the direction and supervision of, and is directly responsible to, either the Secretary of the Air Force, the Under Secretary, or an Assistant Secretary. However, this subsection does not prevent the Comptroller from having concurrent responsibility to the Chief of Staff, Vice Chief of Staff, or a Deputy Chief of Staff, if the Secretary so prescribes."

Except for the names of their Services, the other two Military Department Comptrollers have identical subject areas assigned in U.S. Code (10 USC 3014 and 10 USC 5061).

(3) The Secretary of the Navy has decided to have only one staff element. He has combined the Office of the Comptroller of the Navy with the Office of the Assistant Secretary of the Navy (Financial Management). The other two Service Secretaries have decided to have both a Comptroller office and an office of an Assistant Secretary for financial management.

(4) In addition to this organizational structure flexibility, the Service Secretaries have assigned additional miscellaneous subject areas to their Comptrollers. The chart on the next page illustrates the situation. The mission (subject areas) of the various Secretaries/Secretariat/Staffs assigned by U.S. Code and other functional directives are depicted. For comparison purposes, the scope of subject area coverage of the Assistant Secretary of Defense (Comptroller) is also shown.



FIGURE 1 -- COMPARISON OF SUBJECTS ADDRESSED BY COMPTROLLERS

<u>SUBJECTS ASSIGNED IN INTRA-DOD DIRECTIVES</u>						
	OSD <u>ASD(C)</u> <u>a/</u>	ARMY <u>COMPT</u>	ASA(FM) <u>b/</u>	NAVY <u>COMPT &amp; ASN(FM)</u> <u>c/</u>	AIR FORCE <u>COMPT</u>	ASAF(FM) <u>d/</u>
<u>PREScribed IN US CODE</u>						
Budgeting	x	x	x	x	x	x
Accounting	x	x	x	x	x	x
Progress and statistical reporting	x	x	x	x	x	x
Administrative organization structure	xe/	x	x	x	x	
Managerial procedures, relating to budgeting, accounting, progress and statistical reporting and internal auditing	x	x	x	x	x	
Internal audit	x			x	x	
<u>ADDITIONAL SUBJECTS PRESCRIBED IN MILITARY DEPARTMENT AND OSD DIRECTIVES</u>						
Prices for interservice sales	x					
Auditing		x	x	x	x	x
Finance, including disbursement and collection of funds		x		x	x	x
Contract audit	x					
Reports control		x				
Cost analysis		x	x	x	x	
Fiscal	x	x		x		
Management systems and improvement	x	x			x	
Financing of contracts		x	x	x	x	x
Data automation (ADP)	svc		x	partial	x	x
Management information & control systems			x	x	x	x
Claims			x	x		
Reports of survey			x	x	x	
Contracts for management studies/ services			x			x
International balance of payments	x		x	x	x	
GAO criticism	x			x	x	x
Collecting debts from defense contractors (operational function)				x	x	
Command of specified field activities or a lower staff		x		x	x	x

a/ Department of Defense Directive 5118.3, January 1966.

b/ Army Regulation 10-5, July 1968, para 2-5 and 2-27.

c/ SECNAVINST 5430.7H, April 1968, para 5a, and Comptroller Orgn Manual 5450.1A (draft).

d/ Air Force Hq Pamphlet 20-1, October 1967, pp. 9, 77-94, and 308.

e/ Restricted to organizations involving programming, budgetary and fiscal matters.

#### 4. Functions of the Service Secretary and Secretariat.

a. U.S. Code. In paragraph 2b above, functioning was defined as "The actions, often repetitive, taken by a manager or his staff in specific subject areas in order to fulfill the mission (attain objectives)." In paragraph 3, it was brought out that Congress, in the U.S. Code, specifies the organization and subject area with which each Service Secretary will be concerned (mission), but leaves to his discretion how he will act (function). Thus each Service Secretary is free to prescribe how his Secretariat and military staff below that level will function.

b. Duplications of functioning. There are a number of functional statements promulgated within the Department of Defense which purport to define the method of functioning of the various Service Secretariats and military staffs beneath them. It is not unusual in these functional statements to find apparent duplications of effort. For example, the Assistant Secretary of the Army (Installations and Logistics) addresses the same subject areas for the same organization (the Army) that the Deputy Chief of Staff for Logistics (DCSLOG) addresses at a lower echelon, the Army Staff. Under CSM 69-384, the Office of the DCSLOG, in the area of logistics, "develops...broad, yet definitive, objectives...and broad policies for the guidance and/or the support of the Army and designated other forces..." Despite this broad mandate, another HQ, DA directive (Memo 10-7) states that "the Assistant Secretary of the Army (Installations and Logistics) is charged with responsibilities for specific functions which collectively embrace supervision of the business administration and civilian management aspects\* of the mission of the Department of the Army." In addition: "The principal civilian assistants to the Secretary contribute guidance to military staff solutions, during development and/or in review. They assist in the interpretation of the views and objectives of the Secretary of Defense... [and] may provide preliminary general guidance concerning the response, plan, or recommendation required to insure the essential factors are considered by the [Army] Staff." Thus the DCSLOG is charged with developing broad objectives and policies for the guidance of the entire Army, and the Assistant Secretary of the Army (Installations and Logistics) works in the same area and has "responsibilities for (the same) specific functions." This example of apparent duplication was provided to highlight the lack of clarity on roles that exists between the Service Secretariats and the Service military staffs.

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\* Use of such vague and ambiguous phrases as "business administration and civilian management aspects" (whatever that means) is typical of the state of definition of functions within the Department of Defense. There is a great lack of clarity and consistency among functional statements of the nine staffs at Washington headquarters of the Department of Defense.

In the case of the Comptroller area, the Secretary of the Navy had precluded this duplication by having only one comptroller office at the Headquarters Department of the Navy.

c. Official Statements of Functions. Summarized below are the functions of the Service Secretaries, the functions of their Secretariats, and the functions of the military staffs beneath them:

(1) Headquarters, Department of the Army.

(a) Personal Functions of the Secretary of the Army.

1. "The Secretary of the Army exercises his authority through his principal civilian assistants and through the Chief of Staff. He maintains under his immediate supervision those activities which involve vital relationship with the Secretary of Defense, Congress, and other principal Government officials, and the public. In his relationship with the Army Staff, he concerns himself directly with those matters of broad policy, plans, programs, and operations which likewise demand the personal concern of Chief of Staff and upon which decisions are required by the Secretary of Defense, Joint Chiefs of Staff, National Security Council, and the President. ...in long range and major problem areas, the Secretary... may provide preliminary general guidance concerning the response, plan, recommendation required..." (Emphases added). (Memo 10-7, Hq, DA, 20 Nov 62, paras 5 & 9).

2. Personal powers are specified in 10 USC 3012, paras (c) and (e)-(g). See Enclosure 1.

(b) Army Secretariat (Office, Secretary of the Army).

"The Under Secretary of the Army, the Assistant Secretaries of the Army, the General Counsel and the Administrative Assistant to the Secretary of the Army...(are) charged with responsibilities for specific functions which collectively embrace supervision of the business administration and civilian management aspects of the mission of the Department of the Army. ...The Under Secretary and the other principal civilian assistants deal directly with appropriate segments of the Army Staff in such areas as manpower, logistics, financial management, research and development. In lesser questions of determination of policy in those fields and in carrying out the Secretary's responsibilities for civilian management, they exercise the Secretary's authority for him as delegated in General Orders. ...The principal civilian assistants to the Secretary contribute guidance to military staff solutions, during review and/or in review. They assist in the interpretation of the views and objectives of the Secretary of Defense and in the presentation of Army recommendations and actions so as to make them more easily understood within the Department of Defense, by

the Congress, and by the public. In long range and major problem areas.../the/ principal civilian assistants may provide preliminary general guidance concerning response, plan or recommendation required to insure that essential factors are considered by the Staff. As a matter of general procedure, actions on major matters which will be brought to the attention of both the Chief of Staff and the Secretary of the Army will be discussed during development by the senior responsible official of the Army Staff with the appropriate civilian assistants to the Secretary whose recommendations will be included when the action is transmitted to the Chief of Staff. Any differing viewpoints will be presented to both the Chief of Staff and the Secretary of the Army." (Emphases added). (Memo 10-7, Hq, DA, 20 Nov 62, paras 3, 6, 8 & 9).

(c) The Army Staff. On 4 September 1969, in Chief of Staff Memorandum (CSM) 69-384, the basic functions of the Army Staff, for the first time in the sixty-six years of existence of the Army General Staff, were spelled out in detail. Enclosure 2 contains the "before" and "after" versions of these basic Army Staff functions. A summary of Enclosure 3 is provided below:

RESCINDED SEPTEMBER 1969

"2-15. Army General Staff.

(b) Under the direction of the Chief of Staff, the Army General Staff renders professional advice and assistance to the Secretary of the Army, the Under Secretary, and the Assistant Secretaries of the Army, developing and providing broad basic policies, specifically assists the Secretary of the Army in preparation and issuance of directives and programs to implement such plans and policies, and in the supervision of the execution and implementation of these directives and programs." (Emphases added) (Army Regulation 10-5, 1968, paras 2-15(b)).

It is implied in the directive quoted above that the Army Secretariat has the basic staff function. The Army Staff was merely to assist in this process. This inferred role of Army Staff subservience to the Secretariat was eliminated when CSM 69-384 was published in September 1969.

PROMULGATED SEPTEMBER 1969

"1. The next revision of AR 10-5 will include information and Army Staff functions described below:

2. Army Staff Functions: The functions of the Army Staff are as follows:

a. Basic Army General Staff Functions (Gen Staff)



- "(1) For matters of a general nature, develops, justifies and provides broad objectives (in plans, programs and budgets), and broad policies for the guidance and/or support of the Army and designated other forces...
- (2) Monitors promulgation of detailed objectives..., policies, and procedures by Army field activities;...
- (3) Monitors attainment of these objectives, policies and procedures...
- (4) When monitorship indicates objectives, policies, procedures or performance are inadequate, insures corrective action is taken.
- (5) ...provides advice and assistance to the Secretary of the Army,...and the Chief of Staff in his role as a member of the Joint Chiefs of Staff..."  
(Emphases added) (Chief of Staff Memorandum 69-384), 4 September 69, para 2a).

In this directive the Army General Staff was given direct functions for developing policy and objectives and following up thereon. No mention is made that they are merely assisting the Army Secretariat. What is to happen after the broad policies and broad objectives have been promulgated is made clear. In the rescinded directive (AR 10-5), the Army Staff "assists...in supervision and execution and implementation of these directives and programs." The Army General Staff was not given the direct function of following up on orders. It was merely to assist the Secretariat. The method of follow-up was left completely up to the discretion of the Army General Staff. In the September 1969 directive, however, it was made quite clear that the Army General Staff basically was to avoid involvement in details. The direct functions were to promulgate "broad policies and broad objectives." Staff actions thereafter were restricted to a monitorship of subordinate echelons, within intercession only when the Army Staff found that "objectives, policies, procedures or performance...(were) inadequate..." In essence, the Army General Staff was receiving guidance to turn operations over to field commands and disengage itself from operational matters. Also for the first time, the policy was announced that for lesser subject areas the Army General Staff would not become involved in promulgation of broad policy and broad guidance for the entire Army. This was a revolutionary pronouncement, since AR 10-5 inferred that for any subject matter, however insignificant, the HQ, Department of the Army was to promulgate the broad policies and the broad objectives. This unique decentralization aspect of basic Army General Staff functioning was included in the September 1969 Chief of Staff Memorandum. It is repeated



below:

"[The Army General Staff]...develops and justifies and provides broad, definitive objectives...and broad policies...in matters of such importance that transfer of the function to Army field command level clearly could have a significant and adverse impact on the Army's basic mission of forming, training, deploying and logistically and administratively supporting designated field forces." (Emphasis added). (Chief of Staff Memorandum 69-384, 4 September 1969, para 2a(1)).

The above policy since September 1969 has resulted in transfer to Army field command level of Army-wide responsibility for promulgation of broad policy and broad objectives for a few subject areas. For example, responsibility to make decisions for the entire Army on standardization of ADP data elements has been transferred to a field activity.

(2) Headquarters, Department of the Air Force:

(a) Personal Functions of the Secretary of the Air Force.

"The Secretary of the Air Force, pursuant to 10 USC 8012, is responsible for and has the authority necessary to conduct all affairs of the Department of the Air Force. Subject to his direction and control, the Under Secretary, Assistant Secretaries, and, except to non-delegable statutory functions, the Deputy Under Secretaries are authorized to act for and with the authority of the Secretary of the Air Force on any matters within the areas assigned herein. ...Officers and officials of the Air Force will report to the Under Secretary, the Assistant Secretaries and the Deputy Under Secretaries within their respective cognizance as herein assigned." (Emphasis added). (Air Force Hq Pam 20-1, October 1967, p. 9).

(b) Air Secretariat (Office, Secretary of the Air Force).

As described above, the Secretary of the Army has prescribed common functioning for his civilian assistants. The Secretary of the Air Force has not prescribed a common functioning. Following are extracts from Air Force Headquarters Pamphlet 20-1:

1. The Assistant Secretary of the Air Force  
(Financial Management):

"The Assistant Secretary of the Air Force (Financial Management) is responsible for

"direction, guidance, and supervision over all matters pertaining to the formulation, review and execution of plans, policies, and programs relative to:

The Air Force programming processes in the preparation and validation of all program documentation;

Budgeting, fund management and cost control;

Accounting;

\* \* \* \* \*

The Assistant Secretary of the Air Force (Financial Management) is responsible for directing and supervising the Comptroller of the Air Force. While the Comptroller is directly responsible to the Assistant Secretary (Financial Management), he has a concurrent responsibility to the Chief of Staff." (Emphses added).

2. The Assistant Secretary of the Air Force (Research & Development):

"The Assistant Secretary of the Air Force (Research & Development) is responsible for direction, guidance and supervision over all matters pertaining to the formulation, review, and execution of plans, policies, and programs relative to:

Scientific and technical matters;

Basic and applied research, exploratory development and advance technology;...

The Assistant Secretary of the Air Force (Research & Development) is responsible for directing and supervising all space programs in space activities of the Air Force." (Emphases added).

3. The Assistant Secretary of the Air Force (Installations & Logistics):

"The Assistant Secretary of the Air Force (Installations & Logistics) is responsible for direction, guidance and supervision over all matters pertaining to the formulation, review, and execution of plans, policies, and programs relative to:

Production and programming of weapons:

Industrial defense programs.

\* \* \* \* \*

Economic utilization policy." (Emphases added).

power):  
4. Deputy Under Secretary of the Air Force (Man-

"The Deputy Under Secretary (Manpower) is responsible for the direction, guidance, and supervision over all matters pertaining to the formulation, review, and execution of plans, policies, and programs relative to:

Manpower and organization;

Military and civilian personnel, including procurement..." (Emphases added)

5. Director of Information:

"The Director of Information...is responsible for:

Conducting the operations of the USAF Information Program; planning, directing and supervising internal and external information activities;..." (Emphases added).

(c) Air Staff

1. Wide Variety of Actions Authorized: What an office is authorized to do is depicted by action verbs. Five Air Staff offices were picked at random from the organization and function pamphlet of Headquarters, Department of the Air Force. It was found that the functional statements of these five offices utilized a total of thirty-four different action verbs. Of these thirty-four verbs, twenty-four were used only once. Only one verb ("provides") was used by all five offices in describing their functions. The most popular verbs after "provides" were "reviews," "maintains," and "monitors." But each of these was used only three times. Six other verbs were used only once. The Policy and Evaluation Group used seven action verbs that none of the other four staff sections used. The same statement is true for the Civil Engineering Programs Division. In sum, a bewildering variety of actions were authorized in the pamphlet.

2. Defining Air Staff Role is Difficult. The functional statements of the Air Staff are an amalgam of authorizations to

(1) promulgate broad guidance and (2) become involved in details of execution of various programs. The freedom of individual elements within the Air Staff to write their own functional statements makes it difficult to describe the functions of the Air Staff. Each office describes its own actions, using its own verbs. Accordingly, it is impossible to define the actual role of the Air Staff. Too many interpretations are possible for the various functional statements.

3 Operational Functions Authorized. The functions of the Air Staff include repetitive operational functions, as illustrated by the examples from the Air Force Headquarters Pamphlet 20-1:

"Reviews standardization plans submitted by Air Force activities for assigned Federal Supply Classes and Standardization Areas." (p. 215).

"Develops and submits Air Force position and reports to the Comptroller General on pertinent mistakes-in-bid cases." (p. 216).

"Negotiates with NATO countries and US manufacturers to promote international exchange in utilization of catalog data in accordance with the NATO codification system." (p. 227).

"Develops Air Force...short range airlift and sealift passenger requirements forecast." (p. 232).

"Analyzes requests for ADP equipment, ...participates in negotiations with ADP equipment vendors on contract terms..." (p. 92).

(3) Headquarters of the Navy.

(a) Personal Functions of the Secretary of the Navy.

1. "It is the policy of the Secretary of the Navy to assign Department-wide responsibilities for areas which are essential to the efficient administration of the Department of the Navy to and among his Civilian Executive Assistants..." (General Order No. 5, Department of the Navy, April 1966, para 4).

2. "...The Secretary of the Navy will continue to retain direct control of... policy matters including establishment of fundamental policies and promulgation of such orders and directives as he deems necessary. This will normally include, but is not limited to, (1) policies and procedures which are essential to the effective operations of programming and program change control systems within the Department of the Navy, and (2) similar matters which are beyond the scope of responsibility assigned to an individual member of the Department's executive administration. In addition, the Secretary will exercise immediate supervision of the Office of Program Appraisal, and general supervision of the Naval Inspector General in matters of interest to him." (Emphasis added) (SECNAV Instruction 5430.7H, April 1968, para 3).

3. Personal powers are specified in 10 USC 5033 (b) and 5034 (b). These sections authorize the Secretary of the Navy to prescribe the duties of the Under Secretary and the Assistant Secretaries.

(b) Navy Secretariat. (Office, Secretary of the Navy).

1. "It is the policy of the Navy to assign department-wide responsibilities for areas which are essential to the efficient administration of the Department of the Navy to and among his Civilian Executive Assistants. Such areas will include, but are not limited to, manpower, material, facilities, research and development, and financial management. Each Civilian Executive Assistant will have such authority over his assigned area as is delegated to him by the Secretary of the Navy. One of the Civilian Executive Assistants will serve as Comptroller of the Navy; under him, the Deputy Comptroller, in addition to his other duties, will serve as an advisor and assistant to the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps with respect to financial and budgetary matters." (Emphasis added). (General Order No. 5, Department of the Navy, April 1966, para 5).



2. "Within his area of responsibility, as assigned by para 5 below, each Civilian Executive Assistant is a principal advisor and assistant to the Secretary of the Navy on administration of the Department of the Navy as a whole. Each is authorized and directed to act for the Secretary of the Navy throughout the Department of the Navy within his assigned area of responsibility. Under the direction, authority and control of the Secretary of the Navy, each has the following common responsibilities within his assigned area::

a. The review and evaluation of appropriation actions regarding program development and execution.

b. The formulation, development, and promulgation of management policies, systems, procedures, standards, or decisions which are necessary for effective administration.

c. The formulation of recommendation on fundamental policies, or orders, or directives for the promulgation by the Secretary of the Navy...which are considered necessary for the effective administration of the Department, and which are beyond the scope of their individual responsibilities."  
(Emphasis added). (SECNAV, Instruction 5430.7H, April 1968, para 4).

(c) Office of the Chief of Naval Operations (OPNAV)

1. A review of the OPNAV Organization Manual (OPNAV O9B-P1) indicates that the types of functions authorized for OPNAV are very similar to those for the Air Staff and the Army Staff. All three of these military staffs, which are at a level below the Service Secretariats, are authorized both broad policy and broad objective roles as well as involvement in the details of operations. In the case of OPNAV and the Air Staff, it is not possible to easily distinguish between the broad policies and objectives role and the operational role. In the case of the Army Staff, the functional statements now being published for each Army Staff Agency clearly delineates between these two roles. The word "Op" is placed next to each operational function statement in order to distinguish it from the General Staff functioning; which has the code "Gen Stf."

2. As in the case of the Air Staff, the OPNAV Staff elements use a wide variety of action verbs to describe their staff functioning.

3. Following are examples of operational functions authorized for OPNAV, in the OPNAV Organizational Manual. Underlined is the aspect which appears to make the function operational:

"Determines, as appropriate, the R&D charges to be added to specific sales." (p. 4-18).

"Maintains a ship's jacket material file on each assigned ship, and a complete file of ship characteristic cards to use within OPNAV." (p.04-23).

"Monitors correction of major deficiencies noted by Boards of Inspection and Survey during periodic material inspections of vessels assigned." (p.04-24).

This seemingly innocent authority to monitor could be interpreted in two ways. The first way is a General Staff type of functioning and involves few staff officers at OPNAV level - namely, spot checking the boards to see if they are making good inspections and following up thereon. The second method of monitoring could require many more staff officers at OPNAV level - - namely, monitoring each deficiency list until each deficiency is corrected. The wording of the functional statement infers that the second type of functioning, a highly operational activity, is expected.

"Administers the Navy Department Administrative Airlift Operations." (p.05-20).

Since the verb "administers" has a multitude of interpretations, this last example could be interpreted as permitting the OPNAV staff element involved to do anything it pleased, including making out passenger lists for individual flights.

## 5. Functions of the Military Staffs.

a. General. Statutory "general duties" of the Air Staff and the Army Staff are prescribed in 10 USC 8032 and 10 USC 3032, respectively. The Office, Chief of Naval Operations, does not have its "general duties" prescribed in U.S. Code, although Chapter 509, Title 10, is entitled "Office of the Chief of Naval Operations." Similarly, the duties of the staff at Headquarters Marine Corps are not prescribed in U.S. Code; the existence of a Commandant, however, is prescribed in 10 USC 5201. Thus for two of the four military staffs at DoD Washington Headquarters,

"general duties" are prescribed in U.S. Code. For the other two staffs, there are no instructions in U.S. Code. These omissions, however, have no great significance. The functioning of the Army Staff and the Air Staff prescribed in U.S. Code is in such broad terms that a wide variety of functioning could be interpreted as authorized. This will be seen in the extracts from U.S. Code below.

b. Air Staff Mission and Functioning. The mission (end-conditions to be attained) of the Air Staff is inferred in paragraph (b)(1), below, when reference is made to its responsibility to prepare (plan) for "re-cruiting, organizing, supplying, equipping, training, serving, mobilizing, and demobilizing of the Air Force..." The functioning (actions taken) of the Air Staff is described in general terms by the use of such action verbs as "prepare" in paragraph (1) (apparently meaning "plan"), "investigate," "report," "supervise," "act," and "perform." Title 10 U.S.C. 8032:

"Section 8032. General duties

(a) The Air Staff shall furnish professional assistance to the Secretary, the Under Secretary, and the Assistant Secretaries of the Air Force and the Chief of Staff.

(b) The Air Staff shall -

(1) prepare [plan] for such employment of the Air Force, and for such recruiting, organizing, supplying, equipping, training, serving, mobilizing, and demobilizing of the Air Force, as will assist in the execution of any power, duty, or function of the Secretary or the Chief of Staff;

(2) investigate and report upon the efficiency of the Air Force and its preparation for military operations;

(3) prepare detailed instructions for the execution of approved plans and supervise the execution of those plans and instructions;

(4) act as agent of the Secretary and the Chief of Staff in coordinating the action of all organizations of the Department of the Air Force; and

(5) perform such other duties, not otherwise assigned by law, as may be prescribed by the Secretary." (10 U.S.C. 8032).

c. Army Staff Mission and Functioning. "General duties" of the Army Staff prescribed in 10 U.S.C. 3032 are identical to those of the Air Staff except that "Army" is substituted for "Air Force."

d. Analysis. An analysis of the U.S. Code with respect to the duties of the four military staffs indicates that the basic mode of functioning for the military staffs is left to the discretion of the Service Secretary. For example, no statement is made in the Code that the military staffs are to confine themselves to formulation of broad objectives and broad policies and follow up thereon. Instead, and perhaps unfortunately, the only reference to the detail into which the Army Staff and the Air Staff are to be involved is in the opposite direction. The two staffs are directed to "prepare detailed instructions." Although these detailed instructions are linked to "plans" (and not policy directives), the typical reader might not draw this fine distinction. In the historical past general staffs prepared war plans and support was performed by the bureaus reporting separately to the Service Secretary. The preparation of war plans utilizes only a relatively small proportion of military staff effort today. It is unfortunate that U.S. Code reflects the situation of the past. The Army eliminated most of its bureaus in 1962; the Navy in 1966. The "basic Army General Staff functions," which were prescribed for the Army Staff in September 1969, better describe what a military staff at Washington level should do. It is interesting that the "general duties" prescribed in U.S. Code are so broadly worded that they do not conflict with this recent description of General Staff functioning promulgated by the Army.

#### Alternative Roles of Service Secretaries/Secretariats/Military Staffs.

1. General. To define the role of a Service Secretary/Secretariat/Military Staff it is necessary to provide information in the following three areas:

a. Mission. What is the Secretary or Staff responsible for; that is, what end-condition is the staff head/staff responsible for producing?

b. Functioning. What powers will the Secretary have? How will he act, on a day-to-day basis, in order to accomplish his missions? Similarly, how will the Secretariat (if a Secretariat exists) and the military staff act, on a day-to-day basis, to accomplish the mission?

c. Organizational Location. Where will the Secretary, Secretariat and Military Staff be located organizationally at Washington Headquarters? For example, will the Secretary be located, as he is now, at a level below the OSD staff? Will he be a special staff officer on the OSD staff coequal with the Assistant Secretaries of Defense and monitoring the OSD staff for Army matters? Or will he be on the OSD staff and above the OSD functional staff?

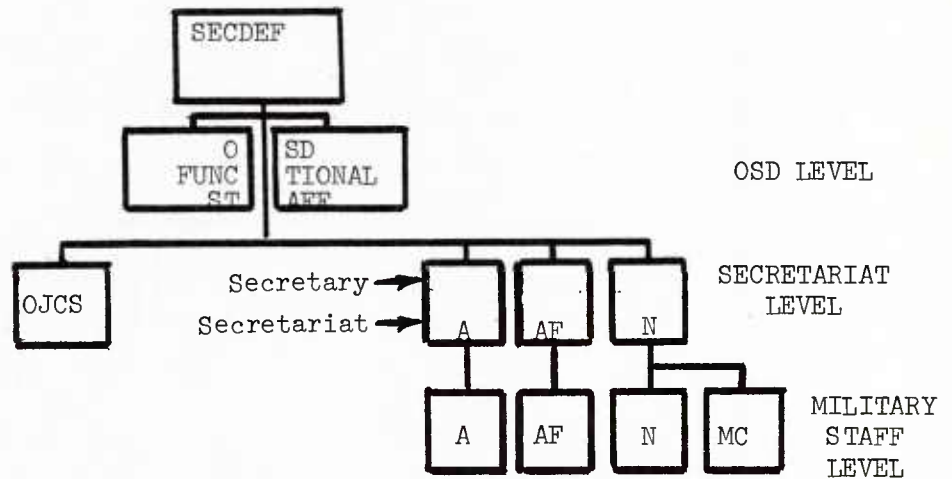
2. Alternatives. For the purposes of analysis, six alternative roles for the Service Secretary/Secretariats/Military Staffs are defined on the following three pages. An analysis of the six alternatives follows immediately thereafter.

3. Functioning. For Alternatives B through F, it is assumed that the main functioning of each staff at DoD Washington Headquarters is developing and communicating broad policies and broad objectives for the organization applicable to that staff, with operational functions delegated to field commands. This definition of functioning avoids the undesirable "looking downward" concept by which OSD will "provide policy" and the Military Departments headquarters will be "operational." The definition of a staff's functioning should be its functioning as viewed by its subordinate commands, not as a higher staff (e.g., OSD) sees it.

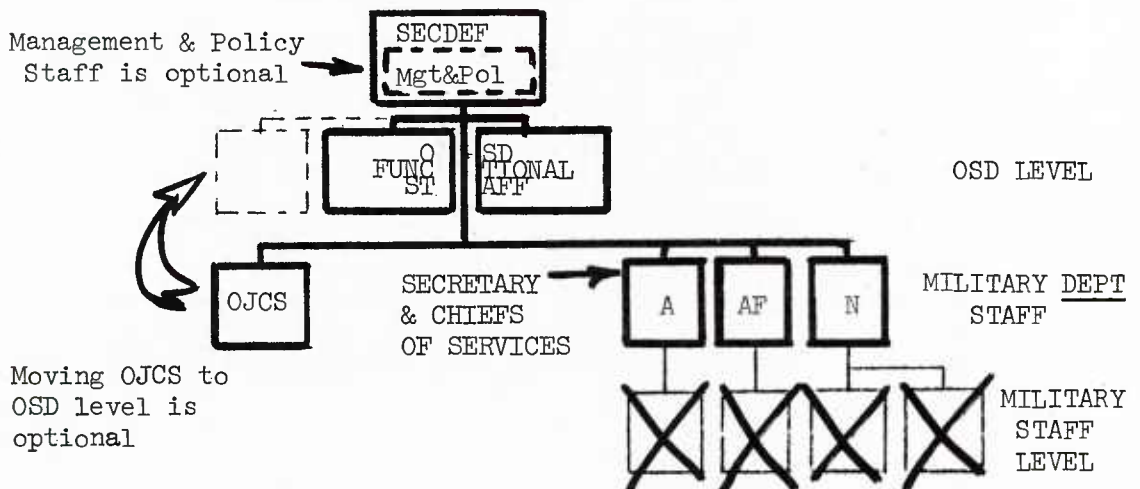


## ALTERNATIVES

Alternative A: The current situation - the Service Secretary has the responsibilities assigned by U.S. Code. He and his Secretariat function (act) in the manner prescribed in internal DoD Directives. They are located organizationally below the OSD staff and above the military staff.

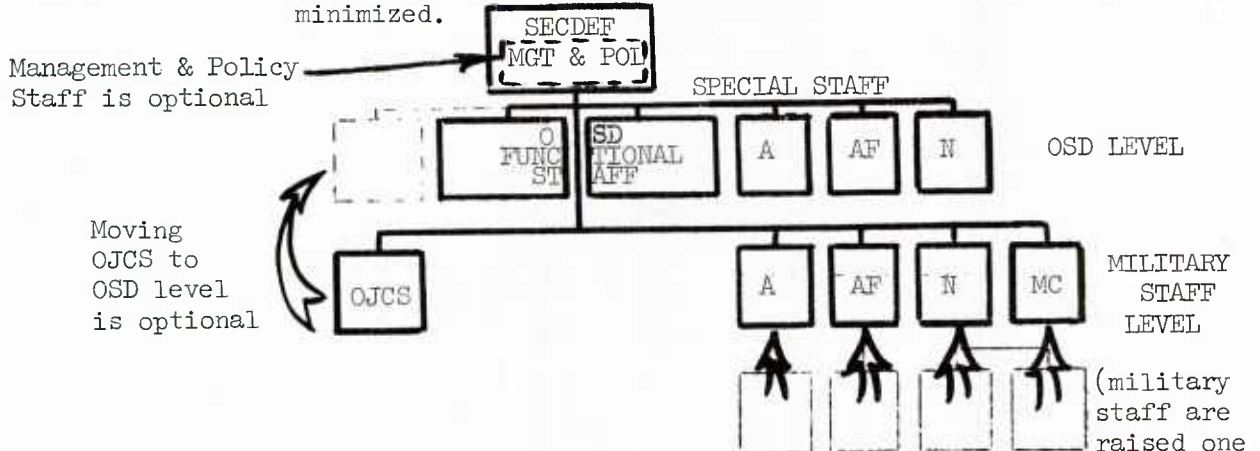


Alternative B: No change in the Secretary's mission; current U.S. Code applies. The Secretariat and the military staff (two military staffs in the case of the Navy Department) are merged into a single staff staying below OSD staff.



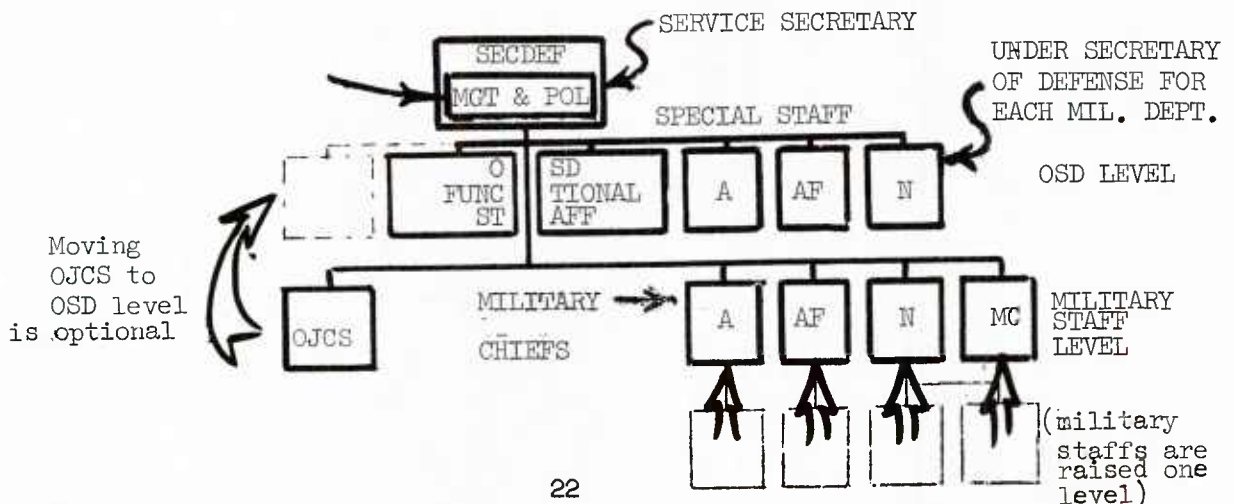
(3) Alternative C: No change in the Secretary's mission; current U. S. Code applies. The Secretary and his Secretariat move to the OSD staff. The Secretariat's functioning is to monitor the OSD staff and their service staff to insure:

- (a) the adequacy of longer range capabilities objectives
- (b) the adequacy of broad priorities and policies
- (c) that decentralization occurs (i.e., decisions on details and execution are being made at field command level, freeing the military staff to concentrate on broad objectives and broad policies in selected subject areas).
- (d) workloads imposed on the Service staff by the OSD staff are minimized.

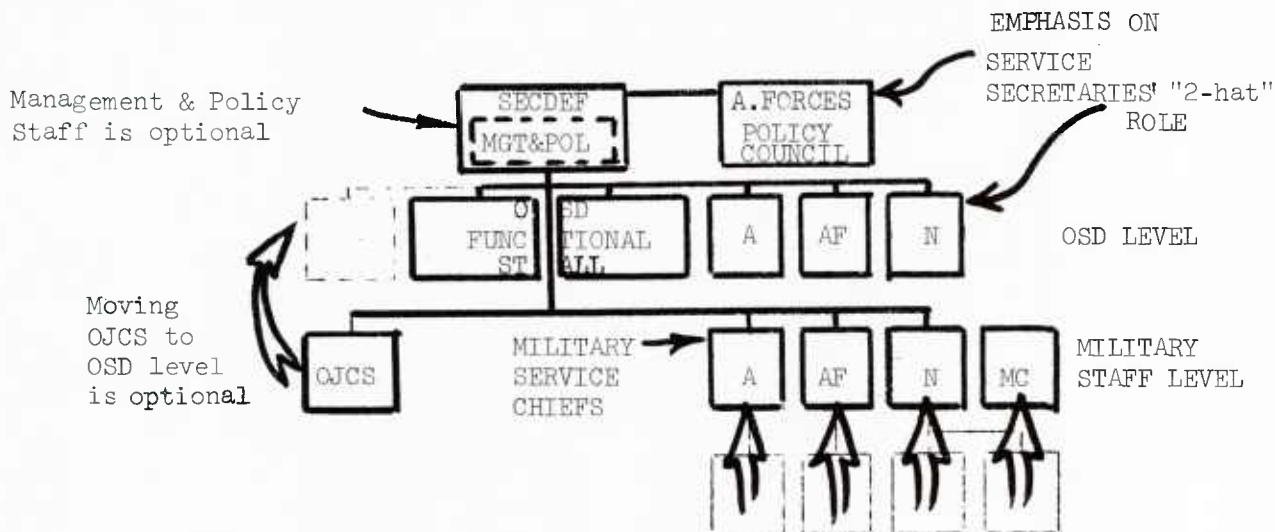


(4) Alternative D: Similar to Alternative C, except

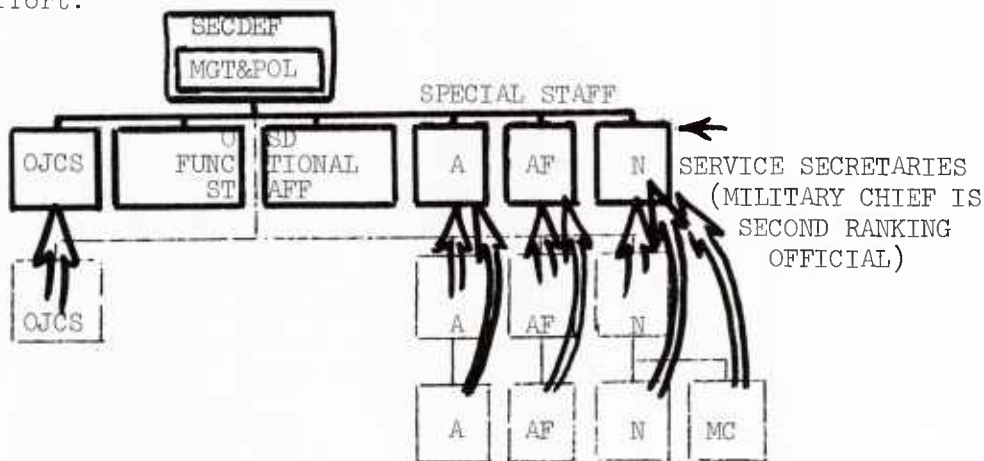
Service Secretary is purely a staff officer and is a member of the Management and Policy Group within the immediate Office of The Secretary of Defense. The Management and Policy Group provides guidance and decisions to the rest of the OSD Staff. Under Secretaries of Defense head the three Military Department Staffs at OSD level.



Alternative E: Same as Alternative C, except that the Service Secretary's "2-hat" role is emphasized. The Armed Forces Policy Council (10 USC 171) which includes the OJCS, DDR&E and Service Secretaries would be augmented by Assistant Secretaries of Defense and be relied on more by the SecDef.



Alternative F: All nine DoD staffs at Washington headquarters are merged into one staff. Military Service Chief becomes second ranking official on Military Department Staff. Military Department Staff monitors OSD/OJCS basic functional staff (duplications in functioning in those staffs are eliminated) and participates in decision-making process as an equal. Within the immediate office of the Secretary of Defense there is a Management and Policy Staff to coordinate the entire OSD staff effort.



# ANALYSIS OF ALTERNATIVES

Alt A: Current situation. Service Secretary is below OSD. Secretariat is above military staff(s). Functioning includes much operational detail.

FOR ALL THE FOLLOWING ALTERNATIVES: Field commands given authority to make decisions on lesser subjects and, for more important subjects, make decisions on all matters except broad policy and broad objectives.

Alt B: Secretariats merged with Military Staffs.

Alt C: Service Secretary and a small Secretariat move to OSD staff and monitor staff actions passing directly from military staffs to OSD basic functional staff offices (and vice versa). Secretariat concentrates on longer range planning and insuring decentralization.

Alt D: Similar to Alternative C, except Service Secretary is purely a staff officer in Management and Policy Group, a control office within immediate office of SECDEF. There is an Under Secretary of Defense for each Military Department.

Alt E: Same as Alternative C, with Service Secretaries playing a more active role in an enlarged Armed Forces Policy Council, an advisory group.

Alt F: All nine DoD staffs merged. JCS, ASD's and Military Department Staffs are on same level. Management and Policy Staff at top coordinates the entire OSD Staff.

<u>CHARACTERISTIC</u>	<u>ALT A</u>	<u>ALT B</u>	<u>ALT C</u>	<u>ALT D</u>	<u>ALT E</u>	<u>ALT F</u>
1. Number of layers of staff at DoD Washington Headquarters.	3	2	2	2	2	1
2. Number of separate staffs at DoD Washington Headquarters.	9	5	6 <sup>a/</sup>	6 <sup>a/</sup>	6 <sup>a/</sup>	1
3. Secretariat and Military Staff are separate.	yes		yes	yes	yes	
4. Secretariat is within the OSD staff, participates in OSD decision-making and monitors across the basic functional OSD staff.			yes	yes	yes	yes
5. Secretariat monitors the OSD Staff-Military Staff actions and attempts to insure that the Military Staff, at a lower level, is freer to concentrate on the longer range objectives.			yes	yes	yes	
6. Some change in U. S. Code probably required.		yes	yes	yes	yes	yes

<sup>a/</sup> 5 if OJCS is moved to OSD level. 4 if, in addition, OPNAV (Navy Staff) and Marine Corps Staff are combined.

CHARACTERISTIC	ALT A	ALT B	ALT C	ALT D	ALT E	ALT F
7. Staff functioning of DoD Staffs is specified to be basically that of developing and promulgating broad objectives and broad policies <u>for the organizations applicable to each staff.</u>	yes	yes	yes	yes	yes	
8. (As a result of # 7 above) All staffs could be relatively small in size.	yes	yes	yes	yes	yes	
9. Service Secretary is an OSD Staff officer only, in a Management and Policy Group.				yes		
10. Military Chief of Service reports directly to SECDEF.				yes		
11. As additional duty, Service Secretary is a member of an advisory committee at the highest DoD level ( Armed Forces Policy Council).	yes	yes	yes	yes	yes <sup>b/</sup>	yes
12. Paper work and other requirements imposed on military staffs probably will be reduced.		yes	yes	yes	yes	yes
13. No turbulence due to reorganization.	yes					
14. Probability of most service views getting to OSD decision maker in unadulterated form.	poor	fair	good	good	good	V. good

<sup>b/</sup> Under Alternative E, the SecDef, in theory, would rely more on the advice of the Armed Forces Policy Council which would be augmented beyond its statutory composition by adding ASD's.



## CHAPTER II

### STAFF FUNCTIONS AND DECENTRALIZATION

#### 1. General

a. Both President Nixon and Secretary Laird have repeatedly announced a policy of decentralized decisionmaking. As this analysis will show, this policy is by no means nonexistent in Defense directives. It is easy to announce such a policy but extremely difficult to define it to staff personnel so that its impact on their day-to-day staff actions is clear. It is an even more formidable task to enforce observance of the policy of decentralized decisionmaking, human nature being what it is.

b. Merely promulgating a policy of decentralization results inevitably in negligible corrective actions within a bureaucracy. Decisions continue to be made at the top on the basis that (1) lower echelons are utterly incompetent to make the decisions, and (2) higher echelons are incessantly demanding prompt actions and refuse to accept staff work done at lower echelons.

c. This analysis discusses the actions required to get decisions made at as low a level as possible within the DoD. These actions include defining the basic roles (functions) or staffs; standardization of staff functional statements; stopping staff elements from writing their own functional statements; making job descriptions consistent with functional statements; specifying maximum sizes of staffs and staff support activities; publishing decision thresholds by subject area; and (most importantly) establishing a control mechanism at an organizational level above the functional deputies in each staff to insure that the reforms are observed on a day-to-day basis.

d. This analysis is based on the assumption that the basic functions of staffs and the decentralization policies of the Secretary of Defense must be clearly delineated in DoD Directives. Secondly, it is assumed that the mere promulgation of functional and decentralization policy by the Secretary of Defense will not insure that it is carried out. Accordingly, the Blue Ribbon Defense Panel should recommend the mechanism necessary to insure the functional restrictions and decentralization policy are actually observed on a day-to-day basis.

e. This is a combined analysis of basic staff functions and the decision thresholds in decentralization. The reason for this combination is that the role of a staff is almost completely defined by describing these two aspects of its activities. For some subjects, especially those dealing with more abstract matters, decision thresholds are not particularly applicable. For example, the activities of a staff developing policy on

administration is best defined by describing the basic functions of the staff; decision thresholds, which usually involve resource levels, are less applicable. For logistics or budgeting or R&D activities, on the other hand--where resources levels are applicable--defining both the basic functions of a staff and the decision thresholds is necessary for completeness.

2. Definitions. For the purpose of this analysis, the following definitions apply:

a. Mission. Specified or implied objectives/end conditions to be attained by an organization in specified subject areas. (Associated with nonaction verbs, as "is responsible for" and "insures that").

b. Functions. The actions, often repetitive, taken by a manager or his staff in specified subject areas in order to fulfill the mission (attain objectives). (Associated with action verbs, as "develops and provides broad policy and broad objectives...", "monitors. . .", "spot checks. . .", "advises...").

c. Decentralization. The granting to lower echelons of the authority to make decisions in specified subject areas (fields of responsibility).

d. Streamlining Decision Making. Improvements made in the decision-making process which improve the quality of decisions and/or increase the speed with which decisions are made.

3. Necessary Environment. A policy of decentralization of decision authority from the Office of the Secretary of Defense to lower echelons cannot be divorced from other aspects of staff management. Enforcing a policy of decentralization is much easier if other steps are taken to improve staff functioning. Some of these other actions are discussed very briefly below.

a. Reducing Staff Size. It is iron law of bureaucracy that all available people will be utilized. This tendency has been discussed humorously by C. Northcote Parkinson (in Parkinson's Law and Other Studies in Administration. Boston: Houghton Mifflin Company, 1962, p.2) who states that:

"Work expands so as to fill the time available for its completion... . The thing to be done swells in importance and complexity in direct ratio with the time to be spent."

Parkinson seems to be saying that a staff of more personnel than is required to provide broad objectives and broad policies for lower echelons will tend inevitably to pull decision authority up from lower echelons; that is, an OSD staff that is too large will tend to ignore the functional role and

the decision thresholds specified for it and will get into more detailed involvement. Accordingly, it is assumed in this analysis that steps will be taken to reduce the OSD staff to a relatively small size and keep it that way.

b. Reports Control. It is also assumed in this analysis that adequate action will be taken routinely (not in big drives periodically) to reduce the number and volume of reports requested by the OSD Staff. The volume of paper work involved in reports flowing to the OSD staff is generally proportional to the amount of detail in the decisions made by the OSD staff. Imposing constraints on reports is another way of enforcing decentralization of decision authority to lower echelons. A preliminary analysis indicates reports control at Washington headquarters is very poor. For example, several portions of the OSD staff (e.g., OASD (International Security Affairs) have been made immune to surveillance by the OASD (Comptroller) reports control office charged with the function of controlling OSD reports.

c. Controls over Tasking of Lower Staffs. The necessity to reduce the OSD staff to its minimum feasible size in order to create an atmosphere suitable for decentralization has been discussed above. A traditional way for a head of a staff element to by-pass such manpower limitations is to tap the staff effort at lower echelons. This permits him to get involved in more detailed decisionmaking by making the lower echelons an extension of his own office. The tasking of lower staff echelons for staff effort (a major complaint) shows up in three ways:

- (1) Requiring them to provide committee members,
- (2) Requiring studies to be forwarded to higher echelons,
- (3) Requiring "one-time" reports to be forwarded, and by-passing reports control procedures.

It is assumed in this analysis that some control mechanism above the OSD functional deputy level will be established to control the tasking of lower staffs by the OSD staff.

d. Centralized Control over Staff Support Activities. Many staff elements at DoD Washington Headquarters have their own private staff support field activities. For example, the logistics chief at Headquarters, Department of the Army, has his own field activities for doctrine and ADP support. It is assumed in this analysis that actions will be taken for the DoD staffs to be purged of all support activities and such activities consolidated into a headquarters support command.

#### 4. Current Functions of Military Department Staffs.

a. Service Secretaries are permitted almost complete discretion by U.S. Code as to the functioning of their staffs at military department headquarters. Most heads of staff elements write their own functional

statements using a wide variety of action phrases and terminology to describe their day-to-day staff activities. Operational activities are authorized in these functional statements and are commingled with policy functions.

b. Control of functional statements is minimal in eight of the nine staffs. In the one staff in which functional statements are centrally written, there is no move at present to purge the staff of operational functions although they are now identified. The rationale for this lack of action is that OSD must stop its involvement in detail first, then the lower echelons can eliminate operational functions. This military staff has prescribed a very short basic functioning of its staff (See Enclosure 3). A similar standard functioning might well be prescribed for all staffs at DoD Washington Headquarters.

5. Reducing the Number of Problems Addressed. A main reason for defining the decision thresholds for the OSD staff is to protect the senior officials on the OSD staff from involvement in minutiae. The Hoelscher Committee addressed this issue in 1962 when it was considering a reorganization of the Army. The report of that committee, called the OSD Project 80 Report, contained the following statement on Page 2-111:

"There is need for decentralization of 'staff authorities' within the staff. The time of senior officials must be conserved so that they can deal with the major problems of the Department of the Army."

6. General Pershing. In 1924, General Pershing, then the Army's Chief of Staff, published his management doctrine in the Handbook for the War Department General Staff. This handbook included the following guidance:

"When there are conflicting ideas of interests, as there usually are when dealing with important questions, the different ideas must be investigated and thrashed out with the greatest care... The General Staff should confine itself to matters of broadest policy."

7. 1942 Decentralization. On 1 December 1941, General George Marshall, Army Chief of Staff, resolved to decentralize the highly centralized War Department. The resulting reorganization plan was put into effect on 9 March 1942. It was a vigorous decentralization, with the authority to make many important and most detailed decisions transferred from the War Department General Staff to three major field commands. On 20 February 1942, in a letter to President Roosevelt, Secretary of War Stimson stated:

"It is proposed to free the Chief of Staff of the necessity to coordinate a vast amount of internal detail by decentralization of authority and responsibility for all zone of the interior functions to the commanders of three fundamental activities



[the three major field commands below the War Department General Staff]...These actions will reduce the size and clarify the responsibilities of the War Department General Staff and will assure more rapid and properly considered actions by the War Department. The Chief of Staff, having delegated to the respective commanders of the Army Air Forces, the Ground Forces and the Services of Supply, the function of coordinating internal detail, will be free to devote his energy to the conduct of the war..." (SECWAR Ltr 20 February 1942, copy in WDCSA/020 (1942)).

8. Tendency to Assume Decision Authority. The various managers within a bureaucracy tend to assume decision authority. This tendency was noted by the committee established by the Secretary of Defense in 1962 to improve the decision-making process. The report of this committee, called the Project 39A Report, includes the following comment on Pages 3-6:

"Unnecessary delays seem to occur through executives, deputies, special assistants, and the like, who become decision levels in that they are accorded (or assume) authority to have staff actions revised prior to presentation to their chief."

9. Secretary Laird.

a. Need for Decentralization. Armed Forces Management Magazine, October 1969, reports that Secretary Laird believes there is:

"... too much centralization in decisionmaking processes relative to major programs. This has led to the delay of vital decisions... He [Secretary Laird] is decentralizing authority by stripping automatic decision-making powers from the DoD [OSD] principals and shifting authority to the service secretaries."

The article quotes Secretary Laird as saying:

"It is easy to centralize the power to make decisions and the power to spur action at the top of a large organization and, in the process, to stifle the bright ideas and restless energy of people down the line. You must have people you can trust.. It is simply foolhardy not to make maximum use of the great talent, wisdom and experience available through the Joint Chiefs of Staff and within the Services."

b. Decision Thresholds. In an address to the National Press Club on 25 September 1969, Secretary Laird said:

"The basic policy decisions on such things as choice of weapons systems for development, force levels, distribution of forces between missions and parts of the world, and so on, must be made by the Secretary of Defense..."



10. Official Army History. Dr. James E. Hewes, an official historian of the Army, wrote Organization and Management of the Department of the Army, 1942 to 1962. Excerpts from pages VII-7 and VII-10 are provided below:

"Reformers have repeatedly insisted that the Army staff divorce itself from details of administration. Minutely detailed centralized control over field operations at the bureau and later the General Staff level has been characteristic of the Federal Government from the earliest days of the Republic, paralleling a similar attitude in Congress. Each time reformers succeeded in removing the Army staff from operations through drastic reductions in personnel and other devices, in a few years the Army staff had proliferated again in numbers and functions. The pendulum continues to swing back and forth. As a consequence of the Army Staff's preoccupation with the details of administrative coordinating, genuine long-range planning as distinct from operational planning has suffered. An observable iron law of bureaucracy is that operations drive out staff planning... Future efforts to reform the tradition patterns of the behavior within the Army staff are likely to encounter the same resistance they have in the past. If they follow historical precedent, efforts to reform management procedures are likely to be shunted aside in favor of redrawing organization charts." (Emphases added.)

11. Army Management Doctrine. Army Regulation 1-24, Army Management Doctrine, states:

"Assignment of responsibility and delegation of adequate authority should be made to the lowest practicable level... . Subordinates should be afforded maximum opportunity to exercise initiative..."

12. Air Force Management Doctrine. Air Force Manual 25-1 states:

"Decentralization of operations is essential to optimum use of resources (p. 1).... DECENTRALIZATION: Decentralize to the maximum extent compatible with adequate control (p. 45).

13. U.S. Code. Office of the Secretary of Defense.\*

a. U.S. Code does not encourage the Secretary of Defense to decentralize his decision authority to echelons below OSD. Decentralization is left entirely to the Secretary's discretion. For example, 10 U.S.C. 135 specifies that the Director of Defense Research and Engineering shall "perform such duties relating to research and engineering as the Secretary of Defense may prescribe, including...supervising all

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\*10 U.S.C. 133 is in Enclosure 4.

research and engineering activities in the DoD; and directing, controlling, assigning and reassigning research and engineering activities that the Secretary considers need centralized management." By use of the phrase "directing..research and engineering activities," the U.S. Code seemingly encourages the Secretary of Defense to give powers to the Director, Defense Research & Engineering, beyond that normally associated with a staff position. (Emphases added)

b. Authorization in U.S. Code for the OSD Staff to become involved in details is even more explicit in 10 U.S.C. 2358. This section states:

"The Secretary of Defense or his designee (presumably the Director of Defense Research and Engineering) may engage in basic and applied research projects that are necessary to the responsibility of the DoD in the field of basic and applied research and development and that relate to weapons systems and other military needs. Subject to approval by the President, the Secretary of his designee may perform assigned research and development projects:

- (1) By contract ...
- (2) To one or more of the military departments: or
- (3) By using employees and consultants of the Department of Defense. (Emphases added).

c. The U.S. Code does not prescribe a policy of decentralization for OSD and the Headquarters of the Military Departments. As far as Congress is concerned, the Secretary of Defense and his office, and the Service Secretaries and their Secretariats and Military Staffs can get involved in as much detail as they consider necessary.

#### 14. Internal OSD Directives.

##### a. OSD Functional Directives.\*

(1) The following Department of Defense Directives (DODD) and the subsidiary Department of Defense Instructions (DODI) prescribe the functions of the principal civilian assistants to the Secretary of Defense:

- DODD 5110.1 ASD (Admin)
- DODD 5118.3 ASD (Comptroller)
- DODD 5120.27 ASD (Manpower and Reserve Affairs)
- DODI 5120.40 DASD (Reserve Affairs)
- DODD 5122.5 ASD (Public Affairs)
- DODD 5126.22 ASD (Installations and Logistics)
- DODD 5129.1 Director of Defense Research & Engineering
- DODD 5132.2 ASD (International Security Affairs)
- DODD 5141.1 ASD (Systems Analysis)

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\* Functions specified in US Code and internal OSD directives are in Enclosure 4.

DODD 5145.1 General Counsel  
DODD 5148.2 Assistant to SECDEF (Atomic Energy)  
DODD 5148.5 Assistant to SECDEF (Legislative Affairs)

(2) These directives do not encourage decentralization of decision authority to levels below OSD. For example, DODD 5126.22 specifies that "the Assistant Secretary of Defense (Installations and Logistics) shall perform the following functions in his assigned field of responsibility:

1. Recommend policies and guidance...  
    [Note: There is no reference to broad policies.]
2. Develop systems and standards...
3. Recommend appropriate steps... for more effective, efficient and economical administration..." (Sec III)

(3) There is one puzzling reference to "facilities," the meaning of which is not entirely clear:

"Make full use of established facilities in the Office of the Secretary of Defense, military departments and other Department of Defense Agencies rather than unnecessarily duplicating such facilities." (see IV 3)

(4) In addition to the DOD Directives and Instructions referred to above there are a number of other DODD and DODI which assign functions to the principal civilian assistants in more detail. For example, a Department of Defense Instruction picked entirely at random (DODI 5129.34) has these functions specified for the Assistant Director (Ranges and Space Ground Support) who "shall perform the following functions" under the direction of the Director of Defense Research and Engineering (DDR&E):

"1. Establish and maintain inventory records of all national ground environment support of all space programs.

"2. Establish and maintain inventory records of all ground environment support at missile ranges, and missile training and test facilities.

"3. Establish and maintain inventory of plans for development, procurement and installation of new equipment...

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"5. Collect and maintain long-range launch schedule information...

\*\*\*\*\*

"7. Recommend to DDR&E the approval, modification or disapproval of:

(a) All DoD proposals for...installation and operation of all ground environment support...

(b) Proposals for installation of...NASA equipment..."

As in the case of most DODI (supposedly the implementing instructions within the framework of the DODD) this assignment of functions (which seemingly centralizes decision making at OSD level) was signed by the Director of Defense Research and Engineering. Thus the principal civilian assistants to the Secretary of Defense, since they can promulgate DODI easily, have a free hand to centralize decision making at OSD level.

15. Role of ASD (Admin). The Assistant Secretary of Defense (Administration) apparently should influence the degree of centralization within OSD because in theory he has a strong role in the functional statements and management practices of OSD elements. Section III of DODD 5110.1 assigns to the ASD (Admin) twenty-five functions, including the following:

"C. Develops improved management practices within the DOD to achieve more efficient and economical operation and to eliminate unnecessary overlap of or duplication of effort.

"E. Review and validate organizational arrangements and manning levels of components of the Office of the Secretary of Defense and the Organization of the Joint Chiefs of Staff."

On-site interviews with OASD(A) personnel indicate that the principal civilian assistants of the Secretary of Defense have considerable latitude in the functional statements (provided they do not duplicate the functioning of another OSD Office). The organizational location of the ASD (Admin) makes him coequal to the other ten civilian assistants, the ones he supposedly is policing. The lack of pressure the ASD (Admin) places on others to decentralize or adopt improved management practices is not surprising under these circumstances. Another factor is that the ASD (Admin) has worldwide responsibilities and is involved in a multitude of functions not related to organization and management of the OSD staff.

16. Job Descriptions. Functions of offices can be influenced adversely by job descriptions written for Civil Service employees. An office wanting to justify a higher GS grade for an employee will tend to expand the number of subject matters addressed and may well begin to infringe on the functions of other offices. In addition, decision authority previously at a lower echelon is often brought up to the higher staff to make the responsibility appear greater. Furthermore,



the number of subordinates influences the GS grade awarded by the Civil Service to the supervisor. Since bringing in new operational functions to the office (or intensifying action on existing ones) does indeed increase the "requirement" for more people, operational functions are added and more staff may "appear to be needed." It would seem advisable to place controls on job descriptions so that they are consistent with functional statements and do not tend to defeat a policy of decentralization.

17. Staff management control office.\*

a. Typically, in a large staff, the management of the staff itself is considered a routine administrative matter. Little top level attention is given to how to manage the staff most effectively and efficiently. Most top managers concentrate on decisions on current substantive problems involving the staff are often of little interest and are considered in a class with general housekeeping. Accordingly, personnel charged with staff management activities are placed many levels down in the organization. If they challenge a substantive section head on some matter, they can be defeated easily. The head of the challenged section can go "over the head" of the management office. As a result, controls over the staff are not exerted efficiently. The results of this lack of control are:

(1) Staffs tend to grow in size.

(2) The number and magnitude of operational functions performed by the staff are increased; the staffs do little longer range planning (i.e., little management-by-objective exists).

(3) Decentralization of decision authority to lower echelons does not take place. Just the opposite takes place; lower echelons lost some of the initiative they had.

(4) Staff support field activities increase in number and size.

(5) Reports required of lower echelons increase.

(6) Management practices (e.g., slow decisionmaking) are not improved; paperwork grows.

b. The fact that many boards, commissions and panels (including the Blue Ribbon Defense Panel) have been considered necessary with such regularity in past years is another indication that internal staff management has not operated satisfactorily in the Department of Defense bureaucratic organizations.

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\* Control of Organization and Functions of Staffs at DoD Washington Headquarters is discussed in Enclosure 5.



c. It is concluded that in each staff there should be an office at a high level focusing on the staff mechanism, with the mission of trying to preclude the problems described in a, above.

## 18. Conclusions.

a. Staff roles poorly defined. It would appear from the discussion above that the functional roles of staffs at DoD Washington Headquarters are not well defined in functional statements and this has led to immense confusion. The Army Staff is one known exception. Elsewhere, because controls are minimal, the writing of functional statements has been decentralized almost completely to the personnel performing the functions so that duplication, lack of clarity, gaps, and empire building are the order of the day. The situation has deteriorated to the point where very little credence can be placed in most functional statements and they are generally ignored. However, they are potentially one of the best "yardsticks" against which to measure effectiveness and efficiency and upon which to base staffing.

b. Many operational functions. The practice of decentralized writing of functional statements is dangerous in bureaucracies where office size and the grade of the supervisor is dependent upon breadth and numbers of functions and number of people supervised. The current lack of functional control has resulted in a very wide variety of operational actions either being authorized in functional statements or adopted by managers. Often comments have been made that high staffs should have a "policy" role, but such guidance is not reflected in the thick functional documents published. For example, the Organization and Function manual for Headquarters, Department of the Air Force has over 350 pages of detailed functional statements--a mass of verbiage which makes almost impossibly difficult any determination of true staff roles. The functional statements can be interpreted in almost any desired manner.

c. Control of functions essential. Functional statements reflecting a policy of decentralization, in themselves, do not assure that the offices concerned will truly function as specified. However, they are essential first steps in controlling a staff and insuring that maximum decentralization takes place. Accordingly, it is concluded that for all staffs at DoD Headquarters there should be:

(1) Centrally-written functional statements. Brief, simple and accurate functional statements should be written centrally, in consultation with staff elements, by one office located organizationally above the functional deputy level.

(2) Standard definitions of functioning permitted. For each staff there should be a standard statement of Basic Staff Functioning and also definitions of other types of staff functioning permitted. At Enclosure 6 is a proposed DoD Directive which would provide policy for standard functional statements for staffs at DoD Washington Headquarters.

These statements of functioning are similar to those now in use in the Army Staff.

(3) Standard Functional statement format. The centrally written functional statements referred to in (1) and (2) above should be in a standard format, consisting of the three elements described below.

(a) Col 1: Type of functioning. (Proposed definitions are in paragraph 6a of Annex A to Enclosure 6).

1. Basic. This is a staff role of providing broad policies and broad objectives, with subsequent actions limited to assistance and monitorship to insure compliance.

2. Internal staff management.

3. Internal staff services.

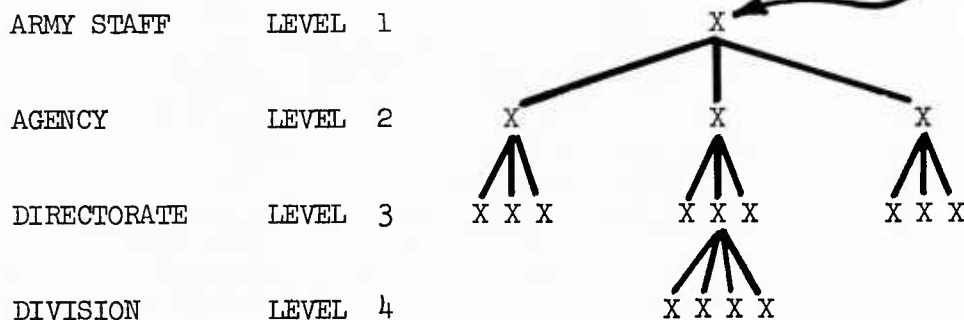
4. Project monitorship. This is the role of a nonprimary action office monitoring basic functional staff elements in its special field of interest.

5. Operational. This involves staff actions, usually repetitive in nature, which do not meet the criteria in the definitions of the other four types of functions.

(b) Col 2: Level of functioning. "Level" describes the relative vertical position of the office in the hierarchy of offices working on the particular subject. Example:

PRIMARY  
ACTION FOR:

For a particular subject, only one office may be categorized as Level 1



(c) Col 3: Subject area (field of responsibility). The standard list of subject areas now in use by the Army Staff is at Enclosure 7. With minor modifications, this list could apply to all staffs at DoD Washington headquarters.

d. Operational functions should meet stringent tests. Operational functioning should not be performed by the staffs at DoD Washington

Headquarters except when transfer of the functions to field command level clearly would have unacceptably adverse effects.

e. Functions statements should not be scattered. Functions of a staff should be prescribed in only one well identified series of functional directives. The current practice of letting staff elements add to these functions by paragraphs inserted in other directives should be summarily stopped. These obscure functional paragraphs invariably add operational functions to the staffs at DoD Washington Headquarters.

f. Job descriptions coordinated with staff functions. Job descriptions should be standardized and made consistent with functional statements by repeating applicable office functions in them. Below each of these extracts from office functional statements should be a listing of the principal documents for which the individual is proponent or acts on to carry out the office function. The practice of lettering personnel write several rambling pages of their personal functions, with correlation to office functions not easily determined, makes it easy to insert in the job descriptions new subject areas and operational functions that are not in office functional statements. Also, functional statements are changed to add the new subject areas and operational functions previously inserted in job descriptions. These practices, which are counter to a spirit of decentralization, must be stopped.

g. Decision thresholds. What constitutes broad policy and broad objectives in a particular subject is a personal determination. Available evidence indicates that each manager has his own definition of "broad." Generally, he considers himself to be in a broad policy role regardless of the detail in which his office is involved. For this reason, decision thresholds are useful auxiliary ways to help define what is a "broad policy and broad objective" setting role. At Enclosure 8 is a proposed DoD Directive describing the decision thresholds specified for the staff at OSD level.

h. High level control office with several staff control functions. There should be a staff management control office directly under the head of the staff in each major staff (e.g., the Air Staff). It should have eight basic internal management functions, and, to avoid involving the head of the staff in details, it should be headed by a senior official who is delegated authority to make decisions on a day-to-day basis without reference to the head of the staff (This also will preclude endless paperwork, "end-runs" to the head of the staff, bickering and delays in compliance). The eight functions would involve authority to exert control (either directly or by surveillance) over:

(1) Staff functions (to include functional statement in all documents) and directives establishing decision thresholds.

(2) Consistency between job descriptions and functional statements.

(3) Size and organizational structure of staff elements and staff support field activities. (Staff support activities should be consolidated into one organization whose head reports to the head of the staff.

(4) Management information systems providing information to or through the staff to higher levels (to include recurring reports).

(5) Tasking of lower staffs (and by higher staffs) to provide studies, committee members and "one-time" information.

(6) Staff support by contract (A typical way to by-pass manpower controls.

(7) Management practices within the Staff (e.g., decision-making procedures).

(8) Operation of similar offices on staffs at lower levels, to include providing team chiefs for surveys by composite teams surveying staffs, at several levels, to insure the adequacy of staff management in the seven areas referred to above.

STATUTORY  
MISSIONS AND FUNCTIONS OF SERVICE SECRETARIES,<sup>a/</sup>  
UNDER AND ASSISTANT SECRETARIES, AND  
CHIEFS OF MILITARY SERVICES

Secretaries

1. 10 U. S. Code 3012. "Secretary of the Army: powers and duties; delegation by
  - (a) There is a Secretary of the Army, who is the head of the Department of the Army.
  - (b) The Secretary is responsible for and has the authority necessary to conduct all affairs of the Department of the Army, including -
    - (1) functions necessary or appropriate for the training, operations, administration, logistical support and maintenance, welfare, preparedness, and effectiveness of the Army, including research and development;
    - (2) direction of the construction, maintenance, and repair of buildings, structures, and utilities for the Army;
    - (3) acquisition of all real estate and the issue of licenses in connection with Government reservations;
    - (4) operation of water, gas, electric, and sewer utilities; and
    - (5) such other activities as may be prescribed by the President or the Secretary of Defense as authorized by law.

He shall perform such other duties relating to Army affairs, and conduct the business of the Department in such manner, as the President or the Secretary of Defense may prescribe. The Secretary is responsible to the Secretary of Defense for the operation and efficiency of the Department. After first informing the Secretary of Defense, the Secretary may make such recommendations to Congress relating to the Department of Defense as he may consider appropriate.

- (c) The Secretary may assign such of his duties as he considers appropriate to the Under Secretary of the Army and to the Assistant Secretaries of the Army. Officers of the Army shall, as directed by the Secretary, report on any matter to the Secretary, the Under Secretary, or an Assistant Secretary.
- (d) The Secretary or, as he may prescribe, the Under Secretary or an Assistant Secretary shall supervise all matters relating to -
  - (1) the procurement activities of the Department of the Army; and;
  - (2) planning for the mobilization of materials and industrial organizations essential to the wartime needs of the Army.

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<sup>a/</sup> Missions of Service Comptrollers are in Paragraph 2(d)(3) Chapter 1.



- (e) The Secretary, as he considers appropriate, may assign, detail, and prescribe the duties of members of the Army and civilian personnel of the Department of the Army.
- (f) The Secretary may change the title of any other officer, or of any activity, of the Department of the Army.
- (g) The Secretary may prescribe regulations to carry out his functions, powers, and duties under this title."

2. 10 U. S. Code 8012. "Secretary of the Air Force: powers and duties; delegation by

- (a) There is a Secretary of the Air Force appointed from civilian life by the President, by and with the advice and consent of the Senate. The Secretary is the head of the Department of the Air Force.
- (b) The Secretary is responsible for and has the authority necessary to conduct all affairs of the Department of the Air Force, including -
  - (1) functions necessary or appropriate for the training, operations, administration, logistical support and maintenance, welfare, preparedness, and effectiveness of the Air Force, including research and development; and
  - (2) such other activities as may be prescribed by the President or the Secretary of Defense as authorized by law.

He shall perform such other duties relating to Air Force affairs, and conduct the business of the Department in such a manner, as the President or the Secretary of Defense may prescribe. The Secretary is responsible to the Secretary of Defense for the operation and efficiency of the Department. After first informing the Secretary of Defense, the Secretary may make such recommendations to Congress relating to the Department of Defense as he may consider appropriate.

- (c) The Secretary may assign such of his functions, powers, and duties as he considers appropriate to the Under Secretary of the Air Force and to the Assistant Secretaries of the Air Force. Officers of the Air Force shall, as directed by the Secretary, report on any matter to the Secretary, the Under Secretary, or an Assistant Secretary.
- (d) The Secretary or, as he may prescribe, the Under Secretary or an Assistant Secretary shall supervise all matters relating to -

- (1) the procurement activities of the Department of the Air Force;
  - (2) planning for the mobilization of materials and industrial organizations essential to the wartime needs of the Air Force; and
  - (3) activities of the reserve components of the Air Force.
- (e) The Secretary, as he considers appropriate, may assign, detail, and prescribe the duties of the members of the Air Force and civilian personnel of the Department of the Air Force."

3. 10 U. S. Code 5031. "Secretary of the Navy: responsibilities

- (a) There is a Secretary of the Navy, who is the head of the Department of the Navy. He shall administer the Department of the Navy under the direction, authority, and control of the Secretary of Defense. The Secretary is responsible to the Secretary of Defense for the operation and efficiency of the Department. After first informing the Secretary of Defense, the Secretary may make such recommendations to Congress relating to the Department of Defense as he may consider appropriate.
- (b) The Secretary of the Navy shall execute such orders as he receives from the President relative to -
  - (1) the procurement of naval stores and material;
  - (2) the construction, armament, equipment, and employment of naval vessels; and
  - (3) all matters connected with the Department of the Navy.
- (c) The Secretary of the Navy has custody and charge of all books, records, and other property of the Department.

Under and Assistant Secretaries

4. 10 U. S. Code 3013. Under Secretary of the Army; Assistant Secretaries of the Army

- (a) There are an Under Secretary of the Army and three Assistant Secretaries of the Army in the Department of the Army. They shall be appointed from civilian life by the President, by and with the advice and consent of the Senate.

- (b) The compensation of the Under Secretary and of each of the four Assistant Secretaries is \$20,000 a year.

5. 10 U. S. Code 8013. Under Secretary of the Air Force; Assistant Secretaries of the Air Force

- (a) There are an Under Secretary of the Air Force and three Assistant Secretaries of the Air Force in the Department of the Air Force. They shall be appointed from civilian life by the President, by and with the advice and consent of the Senate.

- (b) The compensation of the Under Secretary and of each of the four Assistant Secretaries is \$20,000 a year.

6. 10 U. S. Code 5033. Under Secretary of the Navy; appointment; duties; compensation

- (a) There is an Under Secretary of the Navy, appointed from civil life by the President, by and with the advice and consent of the Senate.

- (b) The Under Secretary shall perform such duties as the Secretary of the Navy prescribes.

- (c) The compensation of the Under Secretary is \$20,000 a year.

Chiefs of Military Services

7. 10 USC 743. "Chief of Staff of the Army; Chief of Naval Operations; Chief of Staff of the Air Force

The Chief of Staff of the Army, the Chief of Naval Operations, and the Chief of Staff of the Air Force rank among themselves according to dates of appointment to those offices, and rank above all other officers on the active list of the Army, Navy, Air Force, and Marine Corps, except the Chairman of the Joint Chiefs of Staff."

8. 10 USC 3034. "[Army] Chief of Staff: appointment; duties

- (a) The Chief of Staff shall be appointed by the President, by and with the advice and consent of the Senate, from the general officers of the Army. He serves during the pleasure of the President, but not for more than four years unless reappointed by the President, by the President and with the advice and consent of the Senate.

- (b) The Chief of Staff, while so serving, has the grade of general without vacating his regular or reserve grade, and is counted as one of the officers authorized to serve in a grade above lieutenant general under section 3066 of this title.

(c) Except as otherwise prescribed by law and subject to section 3012 (c) and (d) of this title, the Chief of Staff performs his duties under the direction of the Secretary of the Army, and is directly responsible to the Secretary for the efficiency of the Army, its preparedness for military operations, and plans therefor.

(d) The Chief of Staff shall -

(1) preside over the Army Staff:

(2) send the plans and recommendations of the Army Staff to the Secretary, and advise him with regard thereto;

(3) after approval of the plans or recommendations of the Army Staff by the Secretary, act as the agent of the Secretary in carrying them into effect;

(4) exercise supervision over such of the members and organizations of the Army as the Secretary of the Army determines. Such supervision shall be exercised in a manner consistent with full operational command vested in unified or specified combatant commanders pursuant to section 202 (j) of the National Security Act of 1947, as amended.

(5) perform the duties described for him by sections 141 and 171 of this title and other provisions of law; and

(6) perform such other military duties, not otherwise assigned by law, as are assigned to him by the President."

9. 10 USC 8034. [Air Force] "Chief of Staff: Appointment; duties

(a) The Chief of Staff shall be appointed by the President, by and with the advice and consent of the Senate, from the general officers of the Air Force. He serves during the pleasure of the President, but not for more than four years unless reappointed by the President, by and with the advice and consent of the Senate.

(b) The Chief of Staff, while so serving, has the grade of general without vacating his regular or reserve grade, and is counted as one of the officers authorized to serve in a grade above lieutenant general under section 8066 of this title.

(c) Except as otherwise prescribed by law and subject to section 8012(c) and (d) of this title, the Chief of Staff performs his duties under the direction of the Secretary of the Air Force, and is directly responsible to the Secretary for the efficiency of the Air Force, its preparedness for military operations, and plans therefor.

(d) The Chief of Staff shall--

(1) preside over the Air Staff;

(2) send the plans and recommendations of the Air Staff to the Secretary, and advise him with regard thereto;

(3) after approval of the plans or recommendations of the Air Staff by the Secretary, act as the agent of the Secretary in carrying them into effect;

(4) exercise supervision over such of the members and organizations of the Air Force as the Secretary of the Air Force determines. Such supervision shall be exercised in a manner consistent with the full operational command vested in unified or specified combatant commanders pursuant to section 202(j) of the National Security Act of 1947, as amended.

(5) perform the duties prescribed for him by sections 141 and 171 of this title and other provisions of law; and

(6) perform such other military duties, not otherwise assigned by law, as are assigned to him by the President."

10. 10 USC 5081. "Chief of Naval Operations: appointment; term of office; powers; duties

(a) There is a Chief of Naval Operations, appointed by the President, by and with the advice and consent of the Senate, for a term of not more than four years from officers on the active list in the line of the Navy eligible to command at sea and not below the grade of rear admiral.

(b) The Chief of Naval Operations, while so serving, has the rank of admiral. He takes precedence above all other officers of the naval service, except an officer of the naval service who is serving as Chairman of the Joint Chiefs of Staff.

(c) Under the direction of the Secretary of the Navy, the Chief of Naval Operations shall exercise supervision over such of the members and organizations of the Navy and the Marine Corps as the Secretary of the Navy determines. Such supervision shall be exercised in a manner consistent with the full operational command vested in unified or specified combatant commanders pursuant to section 202(j) of the National Security Act of 1947, as amended.



(d) The Chief of Naval Operations is the principal naval adviser to the President and to the Secretary of the Navy on the conduct of war, and the principal naval adviser and naval executive to the Secretary on the conduct of the activities of the Department of the Navy.

(e) The term "operating forces" as used in this section and section 5082 of this title means the several fleets, sea-going forces, sea-frontier forces, district forces, and such of the shore establishment of the Navy and other forces and activities as may be assigned thereto by the President or the Secretary of the Navy."

11 . 10 USC 5082. "Chief of Naval Operations and Chief of Naval Material: coordinating duties

In order that military operations and their support may be effectively coordinated -

(1) the Chief of Naval Operations, under the direction of the Secretary of the Navy, shall-

(A) determine the personnel and the material requirements of the operating forces as defined in section 5081 of this title, including the order in which ships, aircraft, surface craft, weapons, and facilities are to be constructed, maintained, altered, repaired, and overhauled; and

(B) coordinate and direct the efforts of the bureaus and offices of the executive part of the Department of the Navy as may be necessary to make available and distribute, when and where needed, the personnel and material required; and

(2) the Chief of Naval Material, under the direction of the Secretary, shall -

(A) determine the procurement and production policies and methods to be followed by the Department in meeting the material requirements of the operating forces as defined in section 5081 of this title; and

(B) coordinate and direct the efforts of the bureaus and offices of the executive part of the Department in this respect."

. 10 USC 5201. "Commandant [ of the Marine Corps ]: appointment term; emoluments

(a) There is a Commandant of the Marine Corps, appointed by the President, by and with the advice and consent of the Senate, for a term of four years, from officers on the active list of the Marine Corps not below the grade of colonel.

(b) The Commandant of the Marine Corps, while so serving, has the rank of general.

(c) An officer who is retired while serving as Commandant of the Marine Corps, or who, after serving at least two and one-half years as Commandant, is retired after completion of that service while serving in a lower rank or grade, may, in the discretion of the President, be retired with the grade of general. The retired pay of such an officer shall be computed at the highest rates of basic pay applicable to him while he served in that office.

(d) Under the direction of the Secretary of the Navy, the Commandant of the Marine Corps shall exercise supervision over such of the members and organizations of the Marine Corps and Navy as the Secretary of the Navy determines. Such supervision shall be exercised in a manner consistent with the full operational command vested in unified or specified combatant commanders pursuant to section 202 (j) of the National Security Act of 1947, as amended."

## BASIC GENERAL STAFF FUNCTIONS AND OTHER FUNCTIONS OF THE ARMY STAFF

### 1. General:

a. From the time a General Staff first was authorized for the Army, in 1903, there has been an almost continual debate as to the degree to which the General Staff was to become involved in detailed operations. In late August 1969, General Bruce Palmer, Jr., the Vice Chief of Staff of the Army, made the revolutionarily decision: that, basically, the Army Staff was not to perform operational functions; that is, the basic role of the Army Staff (both the General Staff and the Special Staff) was to develop, justify and promulgate broad policies and broad objectives.

If a basic functional staff office could not meet the criteria of basic General Staff functioning, its work was declared administratively to be operational in nature. The power to write their own functional statements was taken away from staff elements and placed in the hands of management analysts within the Staff Management Division, part of the Office of the Chief of Staff, which had proposed the entire program. By January 1970, the functional statements of most Army Staff agencies had been republished in a new format in which General Staff functions ("Gen Stf") and operational functions ("Op") were clearly delineated.

b. Paragraph 2 below contains the rescinded definition of General Staff functioning. Paragraph 3 contains the current definition. The definitions in paragraph 3 are not repeated in the functional statements of the Army Staff agencies. Instead, an abbreviation code is used in the functional statements to indicate General Staff functioning ("Gen Stf"). This is coupled with a statement of the subject area addressed and identification of the organizational level for which the Staff office is doing its work. A typical entry in an Army Staff office's statement is shown below. It is for the Office of Cryptology, which is within the Office of the Assistant Chief of Staff for Intelligence (OACSI), one of 23 Army Staff agencies.

Extract of CSR 10-27, January 1970:

#### "Functioning

<u>Type</u>	<u>Level</u>	<u>Subject</u>
Gen Staff	Agency	Strategic Intelligence (over-the-horizon detection).
Op		Security (intelligence aspects: developing detailed procedures for establishing special billets and clearances)."

NOTES: 1. Top line means: "The Office of Cryptology has a General Staff role (as defined at length in CSM 69-384) in intelligence involving over-the-horizon detection." For definition of basic General Staff functioning specified in CSM 69-384 (develop ...broad objectives, etc.), see first part of paragraph 3 below.

2. Bottom line means: "Office is performing a repetitive, operational function (detailed procedure development) which is considered so important that it cannot be performed at Army field command level." For definition of operational functioning, see last part of paragraph 4 below. Starting January 1970, Army Staff organization surveys determine the man-years of staff effort utilized for each line entry in functional statements.

## 2. Old Definition of General Staff Functioning.

Extract from Army Regulation (AR) 10-5:

"2-15. Army General Staff.

a. \* \* \* \* \*

b. Under the direction of the Chief of Staff, the Army General Staff renders professional advice and assistance to the Secretary, the Under Secretary, and the Assistant Secretaries of the Army, in developing and providing broad basic policies, plans and programs for the guidance of the DA. The Army General Staff specifically assists the Secretary of the Army in the preparation and issuance of directives and programs to implement such plans and policies, and in the supervision of the execution and implementation of these directives and programs." (Emphases added).

## 3. New Definition of General Staff Functioning.

Extract from CSM 69-384:

"1. The next revision of AR 10-5 will include information on Army Staff functioning described below.

2. Army Staff functions. The functions of the Army Staff are as follows:

a. Basic Army General Staff functions (Gen Stf)

(1) For areas of interest general in nature, develops, justifies and provides broad, yet definitive, objectives (in plans, programs and budgets), and broad policies for the guidance and/or support of the Army and designated other forces, in matters of such importance that transfer of the function to Army field command level clearly could have a significant and adverse impact on the Army's basic mission of forming, training, deploying and logistically and administratively supporting designated field forces.

(2) Monitors the promulgation of detailed objectives (in plans, programs and budgets), policies, and procedures by Army field activities; and, the promulgation of related objectives, policies, and procedures by non-Army activities.

(3) Monitors attainment of these objectives and execution of these policies and procedures.

(4) When monitorship indicates objectives, policies, procedures or performance are inadequate, insures corrective action is taken.

(5) Within the scope of the above described functions, provides advice and assistance to the Secretary of the Army, the Under Secretary of the Army, the Assistant Secretaries of the Army, and the Chief of Staff in his role as a member of the Joint Chiefs of Staff and in his unilateral role in the Army." (Emphases added)

#### 4. Other General Staff Functions.

The September 1969, Army Staff directive which established the new definition of basic General Staff functioning (CSM 69-384) also defined the four other types of functioning authorized for the Army Staff.

a. Special Staff. First, it was made clear that basic functioning for the Special Staff agencies was exactly the same as the basic functioning of the General Staff agencies. This was to correct the traditional assumption that Special Staff agencies were authorized and expected to get involved in operational details.

b. Internal Staff Support. Internal management and administrative support functioning was a third category established.

c. Intense Management. The fourth category involved the functioning of elements doing the intense management of systems, of projects or processes that cut across existing basic functional alignments. Such monitorship functions needed to be clarified since there was a tendency to set up staff empires for such organizations. The policy was established that intense management organizations were to be small and were to utilize to the maximum extent feasible personnel (called "dedicated personnel") who were to remain assigned to the basic functional offices.

d. Operational Functions. The last category was "operational functions". Anything that an Army Staff agency was doing that did not fall into one of the other four categories was automatically classified as operational. This negative, but simple, definition of operational functions turned out to be the best way to define operational functions.

e. CSM 69-384. Paragraphs 2b-2c, CSM 69-384, September 1969, are shown below:

"b. Basic Army Special Staff functions (Sp Stf). Basic Army Special Staff functions are identical to the basic Army General Staff functions (described in paragraph 2a above) except that the areas of interest are



highly specialized or technical and not within the specifically assigned areas of responsibility of General Staff agencies.

c. Internal management and support functions (Mgt/Spt). Provides essential internal management or administrative support (e.g., staff action control, review and analysis, mail, records) to the Army Staff elements. Transfer of these functions from the Army Staff clearly would jeopardize Army Staff functioning.

d. Monitorship functions (Monitor). In matters of great importance justifying an organizational monitoring element, monitors Army Staff and other activities in systems, projects and processes that cut across existing basic functional alignments. Personnel monitored may include certain personnel who have been formally dedicated to work continuously on a particular system, project or process or to give its problems a high priority. When monitorship reveals that objectives, policies or performance are inadequate, assists, advises, and continues monitorship until corrective action is taken by the Army Staff elements assigned functional responsibilities in the area of interest, especially the element which has primary action in the matter of concern. Does not assume primary action except in emergencies. (Examples: STANO Systems Office and other relatively small monitoring elements established to oversee complex programs.)

e. Operational functions (Op). Functions not within the scope of functioning defined in paragraphs a-d above, which, on the basis of special circumstances, have been justified as an exception for performance at Army Staff level because performance at Army field command level clearly could have a significant and adverse impact on the Army's basic mission. (Emphases added). This unusual, negative method of defining operational functions worked very well in the centralized preparation of Army Staff functional statements in the format shown in paragraph 1 b. above.

## FUNCTIONS OF ARMY STAFF ELEMENTS (CSM 69-384)

1. The next revision of AR 10-5 will include information on Army Staff functioning described below.
2. Army Staff functions. The functions of the Army Staff are as follows:

- a. Basic Army General Staff functions (Gen Stf)

(1) For areas of interest general in nature, develops, justifies and provides broad, yet definitive, objectives (in plans, programs and budgets), and broad policies for the guidance and/or support of the Army and designated other forces, in matters of such importance that transfer of the function to Army field command level clearly could have a significant and adverse impact on the Army's basic mission of forming, training, deploying and logistically and administratively supporting designated field forces.

(2) Monitors the promulgation of detailed objectives (in plans, programs, and budgets), policies, and procedures by Army field activities; and the promulgation of related objectives, policies, and procedures by non-Army activities.

(3) Monitors attainment of these objectives and execution of these policies and procedures.

(4) When monitorship indicates objectives, policies, procedures or performance are inadequate, insures corrective action is taken.

(5) Within the scope of the above described functions, provides advice and assistance to the Secretary of the Army, the Under Secretary of the Army, the Assistant Secretaries of the Army, and the Chief of Staff in his role as a member of the Joint Chiefs of Staff and in his unilateral role in the Army.

b. Basic Army Special Staff functions (Sp Stf). Basic Army Special Staff functions are identical to the basic Army General Staff functions (described in paragraph 2a above) except that the areas of interest are highly specialized or technical and not within the specifically assigned areas of responsibility of General Staff agencies.

c. Internal management and support functions (Mgt/Spt). Provides essential internal management or administrative support (e.g., staff action control, review and analysis, mail records) to the Army Staff elements. Transfer of these functions from the Army Staff clearly would jeopardize Army Staff functioning.

d. Monitorship functions (Monitor). In matters of great importance justifying an organizational monitoring element, monitors Army Staff and other activities in systems, projects and processes that cut across existing basic functional alignments. Personnel monitored may include

certain personnel who have been formally dedicated to work continuously on a particular system, project or process or to give its problems a high priority. When monitorship reveals that objectives, policies or performance are inadequate, assists, advises, and continues monitorship until corrective action is taken by the Army Staff elements assigned functional responsibilities in the area of interest, especially the element which has primary action in the matter of concern. Does not assume primary action except in emergencies. (Examples: STANO Systems Office and other relatively small monitoring elements established to oversee complex programs.)

e. Operational functions (Op.) Functions not within the scope of functioning defined in paragraphs a-d above, which, on the basis of special circumstances, have been justified as an exception for performance at Army Staff level because performance at Army field command level clearly could have a significant and adverse impact on the Army's basic mission.

FUNCTIONS OF THE SECRETARY OF DEFENSE AND HIS  
PRINCIPAL CIVILIAN ASSISTANTS

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\*\*DODD = Department of Defense Directive

## THE SECRETARY OF DEFENSE

1. 10 USC 133. "Secretary of Defense: appointment; powers and duties delegation by.

(a) There is a Secretary of Defense, who is the head of the Department of Defense, appointed from civilian life by the President, by and with the advice and consent of the Senate. A person may not be appointed as Secretary of Defense within 10 years after relief from active duty as a commissioned officer of a regular component of an armed force.

(b) The Secretary is the principal assistant to the President in all matters relating to the Department of Defense. Subject to the direction of the President and to this title and section 401 of title 50, he has authority, direction, and control over the Department of Defense.

(c) The Secretary shall report annually in writing to the President and the Congress of the expenditures, work, and accomplishments of the Department of Defense during the period covered by the report, together with --

(1) a report from each military department on the expenditures, work, and accomplishments of that department;

(2) itemized statements showing the savings of public funds, and the eliminations of unnecessary duplications, made under section 126 of this title;

(3) a report from the Reserve Forces Policy Board on the reserve programs of the Department of Defense, including a review of the effectiveness of chapters 51, 337, 361, 363, 549, 573, 837, 861 and 863 of this title, as far as they apply to reserve officers; and

(4) such recommendations as he considers appropriate.

(d) Unless specifically prohibited by law, the Secretary may, without being relieved of his responsibility, perform any of his functions or duties, or exercise any of his powers through, or with the aid of, such persons in, or organizations of, the Department of Defense as he may designate."



2. 10 USC 125. "Functions, powers, and duties: transfer, reassignment, consolidation, or abolition.

(a) Subject to section 401 of title 50, the Secretary of Defense shall take appropriate action (including the transfer, reassignment, consolidation, or abolition of any function, power, or duty) to provide more effective, efficient, and economical administration and operation, and to eliminate duplication, in the Department of Defense. However, except as provided by subsections (b) and (c), a function, power, or duty vested in the Department of Defense, or an officer, official, or agency thereof, by law may not be substantially transferred, reassigned, consolidated, or ~~abolished~~ unless the Secretary reports the details of the proposed transfer, reassignment, consolidation, or abolition to the Committees on Armed Services of the Senate and House of Representatives. The transfer, reassignment, consolidation, or abolition concerned takes effect on the first day after the expiration of the first 30 days that Congress is in continuous session after the Secretary so reports, unless either of those Committees within that period, reports a resolution recommending that the proposed transfer, reassignment, consolidation, or abolition be rejected by the Senate or the House of Representatives, as the case may be, because it--

(1) proposes to transfer, reassign, consolidate, or abolish a major combatant function, power, or duty assigned to the Army, Navy, Air Force, or Marine Corps by section 3062(b), 5012, 5013, or 8062(c) of this title; and

(2) would, in its judgment, tend to impair the defense of the United States.

If either of those Committees, within that period, reports such a resolution and it is not adopted by the Senate or the House of Representatives, as the case may be, within the first 30 days that Congress is in continuous session after that resolution is reported, the transfer, reassignment, consolidation, or abolition concerned takes effect on the first day after the expiration of that forty-day period. For the purposes of this subsection, a session may be considered as not continuous only if broken by an adjournment of Congress sine die. However, in computing the period that Congress is in continuous session, days that the Senate or the House of Representatives is not in session because of an adjournment of more than three days to a day certain are not counted. (Clause (3) of section 202(c) was repealed and restated in section 303, Act of September 7, 1962, Public Law 87-652, 76 Stat. 525).

Sec. 303. (a) For the purposes of this section, any resolution reported to the Senate or the House of Representatives pursuant to the provisions of section 125 of title 10, United States Code, shall be treated for the purpose of consideration by either House, in the same manner as a resolution with respect to a reorganization plan reported by a committee within the meaning of the Reorganization Act of 1949 as in effect on July 1, 1958 (5 U.S.C. 133z and the following), and shall be governed by the provisions applicable to the consideration of any such resolution by either House of the Congress as provided by sections 205 and 206 of that Act.

(b) The provisions of this section are enacted by the Congress--

(1) as an exercise of the rule-making power of the Senate and the House of Representatives, respectively and as such they shall be considered as part of the rules of each House, respectively, and supersede other rules only to the extent that they are inconsistent therewith; and

(2) with full recognition of the constitutional right of either House to change the rules (as far as relating to the procedure in that House) at any time, in the same manner and to the same extent as in the case of any other rule of that House.)

(b) Notwithstanding subsection (a), if the President determines it to be necessary because of hostilities or an imminent threat of hostilities, any function, power, or duty, including one assigned to the Army, Navy, Air Force, or Marine Corps by section 3062(b), 5012, 5012, or 8062(c) of this title, may be transferred, reassigned, or consolidated. The transfer, reassignment, or consolidation remains in effect until the President determines that hostilities have terminated or that there is no longer an imminent threat of hostilities, as the case may be.

(c) Notwithstanding subsection(a), the Secretary of Defense may assign or reassign the development and operational use of new weapons or weapons systems to one or more of the military departments or one or more of the armed forces. However, notwithstanding any other provision of this title or any other law, the Secretary of Defense shall not direct or approve a plan to initiate or effect a substantial reduction or elimination of a major weapons system until the Secretary of Defense has reported all the pertinent details of the proposed action to the Congress of the United States while the Congress is in session.

(d) In subsection (a)(1), "major combatant function, power, or duty" does not include a supply or service activity common to more than one military department. The Secretary of Defense shall whenever he determines it will be more effective, economical, or efficient, provide for the performance of such an activity by one agency or such other organizations as he considers appropriate.    /

# ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION)

DODD 5110.1

<u>Action</u>	<u>Subject Area</u>
1. Conduct research; develop long and short range plans	. . . . . Management and organization within
2. Develop improved practices	. . . . . Management within DoD
3. Provide primary staff responsibility	. . . . . Audio visual activities
4. Review and validate	. . . . . Organization and manning levels of OSD and OJCS
5. Provide capability to conduct	. . . . . Criminal and the counterintelligence investigations; inspections of operational and administrative effectiveness.
6. Develop policies and guidance; establish objectives	. . . . . Security of classified information
7. Insure coordination.	. . . . . Papers signed by SECDEF
8. Coordinate.	. . . . . DoD aspects of matters relating to Federal-State relations, civil and domestic emergencies, and continuity of Government.
9. Coordinate.	. . . . . Command, control and communications and NCS matters
10. Provide.	. . . . . Administrative Support to OSD and OJCS
11. Provide policy guidance, coordinate, and supervise	. . . . . Common administrative facilities

Actions

Subject Area

- |     |                             |                                    |
|-----|-----------------------------|------------------------------------|
| 12. | Prepare, coordinate . . . . | Historical records                 |
|     | coordinate and              |                                    |
|     | maintain                    |                                    |
| 13. | Process requests. . . . .   | Special Air Mission Transportation |

U.S. CODE

The following US Code applies to all Seven Assistant Secretaries of Defense:

10 USC 136. "Assistant Secretaries of Defense: appointment; powers and duties; precedence

(a) There are seven Assistant Secretaries of Defense, appointed from civilian life by the President, by and with the advice and consent of the Senate.

(b) The Assistant Secretaries shall perform such duties and exercises such powers as the Secretary of Defense may prescribe. In addition, one of the Assistant Secretaries shall be the Comptroller of the Department of Defense and shall, subject to the authority, direction and control of the Secretary--

(1) advise and assist the Secretary in performing such budgetary and fiscal functions and duties, and in exercising such budgetary and fiscal powers as are needed to carry out the powers of the Secretary:

(2) supervise and direct the preparation of budget estimates of the Department of Defense;

(3) establish and supervise the execution of principles, policies, and procedures to be followed in connection with organizational and administrative matters relating to --

- (A) the preparation and execution of budgets;
- (B) fiscal, cost, operating, and capital property accounting;
- (C) progress and statistical reporting; and
- (D) internal audit;

(4) establish and supervise the execution of policies and procedures relating to the expenditure and collection of funds administered by the Department of Defense; and



(5) establish uniform terminologies, classifications, and procedures concerning matters covered by clauses (1) - (4).

(c) Except as otherwise specifically provided by law, an Assistant Secretary may not issue an order to a military department unless--

(1) the Secretary of Defense has specifically delegated that authority to him in writing; and

(2) the order is issued through the Secretary of the military department concerned, or his designee.

(d) In carrying out subsection (c) and sections 3010, 3012(b) last two sentences), 5011 (first two sentences), 5031 (a) (the last two sentences), 8010, and 8012(b) (last two sentences) of this title, the Secretary of each military department, his civilian assistants, and members of the armed forces under the jurisdiction of his department shall cooperate fully with personnel of the Office of the Secretary of Defense to achieve efficient administration of the Department of Defense and to carry out effectively the authority, direction, and control of Secretary of Defense.

(e) The Assistant Secretaries take precedence in the Department of Defense after the Secretary, the Deputy Secretary of Defense, the Secretaries of the military departments and the Director of Defense Research and Engineering."

ASSISTANT SECRETARY OF DEFENSE (COMPTROLLER)

DODD 5118.3

<u>Action</u>	<u>Subject Area</u>
1. Advise, assist SECDEF.....	Programming, budget, and fiscal matters and organizational and administrative matters pertaining thereto.
2. Provide for.....	Resource management systems.
3. Supervise, direct, review preparation .....	DOD Budget.
4. Establish policies and procedures .....	Contract audit; internal audit; fiscal accounting; international financial matters; prices for transactions between DoD components.
5. Perform.....	Internal audits.
6. Process.....	GAO and other external audit reports.
7. Provide and administer.....	Services to OSD: ADP, Central Data Service.

ASSISTANT SECRETARY OF DEFENSE (MANPOWER AND RESERVE AFFAIRS)

DODD 5120.27

<u>Action</u>	<u>Subject Area</u>
1. Recommend policies and procedures.	Manpower and personnel management.
2. Develop systems and standards	Military and civilian compensation.
3. Review programs	Reserve components and ROTC affairs.
4. Evaluate management	Health resources.
5. Recommend appropriate steps for improvement actions	Education and individual training Armed Forces Information Program Civil rights and equal opportunity

ASSISTANT SECRETARY OF DEFENSE (PUBLIC AFFAIRS)

DODD 5122.5

<u>Action</u>	<u>Subject Area</u>
1. Provide policy guidance to DoD	.....Public affairs.
2. Approve.....	Public affairs aspects of actions with national or international significance or significance to DoD plans, policies and programs.
3. Develop plans, policies and programs and represent DoD	.....Public affairs; news media accreditation.
4. Provide for review.....	Official speeches, press releases, photographs, films.
5. Provide analysis.....	News
6. Provide.....	News clipping service, as required; speakers representing DoD and speeches for them.
7. Evaluate and approve requests	.....DoD cooperation in public affairs programs.
8. Accredit and approve travel	.....News media representatives.

ASSISTANT SECRETARY OF DEFENSE (INSTALLATIONS AND LOGISTICS)

DODD 5126.22

<u>Action</u>	<u>Subject Area</u>
1. Recommend policies and guidance and coordinate actions	Material requirements.
2. Develop systems and standards	Production planning and scheduling,
3. Review programs of military departments	Acquisition, inventory management, storage, maintenance, distribution, movement and disposal of material, supplies, tools and equipment.
4. Evaluate management	Small business matters
5. Maintain liaison within DoD	Transportation, telecommunications, petroleum and logistical services.
6. Issue instructions and one-type directive-type memoranda.	Supply cataloging, standardization and quality control.
7. Obtain reports and information as may be necessary	Commercial and industrial activities and facilities.
	Military construction.
	Family housing.
	Real estate.
	Vulnerability of resource to attack.
	International civil emergency planning.



Additional OASD (I&L) Functions are prescribed in other OSD Directives as shown in the examples below:

<u>Actions</u>	<u>Subject Area</u>
DODD 5126.8	
8. Make determinations and certifications	.....Construction, replacement or reactivation of bakery, laundry or dry cleaning facilities.
DODD 5126.15	
9. Make determinations.....	Operation, Acquisition, or Construction of new facilities or equipment in continental United States for military scrap baling or shearing or for melting or sweating aluminum scrap.
DODD 5100.13	
10. Enter into agreements with individual educational activities	.....Donation of surplus personal property to educational activities.
DODD 4270.24	
11. Approve.....	Minor construction projects under 10 USC 2674 and repair and alteration projects.
DODD 4165.29 & 4165.21	
12. Approve .....	Wherry Housing Projects and Capehart Housing Projects.
DODD 5100.10	
13. Make determinations and approve	.....Projects and programs for National Defense and Reserve Forces facilities.
DODD 5126.28	
14. Expedite.....	Construction of a project reasonable to include establishing completion dates.

Actions

Subject Area

DODD 5100.11

15. Approve actions..... Family housing for civilian employees  
at research and development installations.

DODD 5126.32

16. Approve..... Acquisition, construction, rehabilitation  
and installation of public works damaged  
or destroyed.

DODD 1342.6

17. Develop..... Design and engineering criteria for  
overseas dependent school facilities.

(c) The Director takes precedence in the Department of Defense after the Secretary of Defense, the Deputy Secretary of Defense, and the Secretaries of the military departments."

10 USC 2358. "Research projects.

Subject to approval by the President, the Secretary of Defense or his designee may engage in basic and applied research projects that are necessary to the responsibilities of the Department of Defense in the field of basic and applied research and development and that relate to weapons systems and other military needs. Subject to approval by the President, the Secretary or his designee may perform assigned research and development projects --

(1) by contract with educational or research institutions, private businesses, or other agencies of the United States;

(2) through one or more of the military departments; or

(3) by using employees and consultants of the Department of Defense.

ASSISTANT SECRETARY OF DEFENSE (INTERNATIONAL SECURITY AFFAIRS)

DODD 5132.2

Action

Subject Area

1. Monitor.....DoD participation in NSC affairs.
2. Assist SECDEF in establishing policies by:
  - a. Determining..... Current and conveying international problems.
  - b. Identifying.....National Security objectives.
  - c. Developing..... International political-military and foreign economic implications of force structures, weapons systems and other military capabilities.
  - d. Presenting..... Information on international security issues and alternative policies.
3. Initiate DoD action on .....NSC policies.
4. Develop and coordinate .....International political-military and Defense policies, plans, foreign economic affairs, including and procedures arms control; foreign and international agreements.
5. Provide policy guidance ..... Components of DoD, DoD representatives on US Missions and international organizations.
6. Develop, coordinate, and .....Military Assistance Program and establish positions, plans, related programs. and procedures
7. Plan, organize, and monitor.....Activities of Military Assistance Advisory Groups
8. Evaluate .....Administration and management of approved policies and programs.

DIRECTOR OF DEFENSE RESEARCH AND ENGINEERING

DODD 5129.1

<u>Action</u>	<u>Subject Area</u>
1. Recommend policies and guidance governing plans and programs and assignments of responsibilities	Scientific and technical matters  Basic and applied research  Research, development, test and evaluation of weapons, weapons systems, and Defense materiel.
2. Direct and control research and engineering activities that SECDEF deems to require centralized management. (See also Number 7 below)	Design and engineering for suitability, producibility, reliability, maintainability and materials conservation.
3. Recommend funding	
4. Review project of agencies in DoD	
5. Evaluate management	
6. Engage in programs assisting friendly countries	
7. Engage in or designate R&D facilities to engage in	..... Basic and applied research projects (1) by contract, (2) by military department, or (3) by utilizing employees and consultants.
8. Direct.....	Weapons Systems Evaluation Group.



Additional DDR&E functions are prescribed in other OSD Directives as shown in the examples below:

<u>Action</u>	<u>Subject Area</u>
DODI 5129.43	
9. Review and coordinate in detail	..... Information analysis centers.
10. Establish procedures .....	Communication of RDT&E information.
11. Provide for establishment.....	"Clearing house" of information on current DoD ROT&E programs.

#### U. S. CODE

10 USC 135. "Director of Defense Research and Engineering: appointment; powers and duties; precedence.

(a) There is a Director of Defense Research and Engineering appointed from civilian life by the President, by and with the advice and consent of the Senate.

(b) The Director performs such duties relating to research and engineering as the Secretary of Defense may prescribe, including

(1) being the principal adviser to the Secretary on scientific and technical matters;

(2) supervising all research and engineering activities in the Department of Defense; and

(3) directing, controlling, assigning and reassigning research and engineering activities that the Secretary considers need centralized management.

<u>Action</u>	<u>Subject Area</u>
9. "Issue instructions and one-time directive-type memoranda"	.... Above subjects.
10. "Make requests to the Chairman JCS"	.... Above subjects.
11. "Obtain such reports and information from the military departments and other DoD agencies... as may be necessary"	.... Above subjects.

# ASSISTANT SECRETARY OF DEFENSE (SYSTEMS ANALYSIS)

DODD 5141.1

## Action

## Subject Area

1. Review; develop planning guidance and effectiveness criteria ..... Quantitative requirements for: Forces, weapons systems, equipment, manpower and nuclear weapons, transportation information and communication systems, foreign countries.
2. Assist SECDEF by initiating, monitoring, guiding, reviewing developing measures of cost and effectiveness ... Requirements studies and cost-effectiveness studies.
3. Encourage ..... Use of best analytical methods.
4. Conduct and participate in ..... Special studies.
5. Initiate, monitor, guide, review, and summarize ..... Requirements studies.
6. Assemble, consolidate, summarize and present Total implications of alternative programs in terms of relative costs, feasibility and effectiveness and problems of choice involved.
7. Participate in review ..... Consolidated programs for command, control, communication and intelligence activities.
8. Analyze ..... Impact on civilian economy of DoD resource utilization.
9. Provide special support to SECDEF ..... DoD interest, non-defense, government programs (e.g., Supersonic Transport, oil imports, subsidies).
10. "Issue instructions and one-time directive-type memoranda" ..... Above subjects.
11. "Obtain such information, advice, and assistance from DoD components as he deems necessary." ..... Above subjects.

# GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE

DODD 5145.1

This very brief 1959 DoD Directive states that "the General Counsel shall serve as the chief legal officer of the Department of Defense. He shall be responsible for all legal services to be performed within and involving the Department of Defense, and shall perform such other duties as the Secretary of Defense assigns."

## U.S. CODE

10 USC 137. "General Counsel: Appointment; powers and duties.

(a) There is a General Counsel of the Department of Defense, appointed from civilian life by the President, by and with the advice and consent of the Senate.

(b) The General Counsel is the Chief legal officer of the Department of Defense. He shall perform such functions as the Secretary of Defense may prescribe."

ASSISTANT TO SECRETARY OF DEFENSE (ATOMIC ENERGY)

<u>Actions</u>	<u>Subject Area</u>
1. Recommend policies and guidance.	
2. Develop systems and criteria	
3. Review programs	
4. Evaluate management	
5. Advise and assist other officials	Atomic Energy Matters.
6. Develop policies and procedures	
7. Coordinate actions	
8. Maintain active liaison	
9. Issue instructions and one-time directive-type memoranda	
10. Obtain reports as may be necessary	



ASSISTANT TO THE SECRETARY OF DEFENSE (LEGISLATIVE AFFAIRS)

DODD 5148.5

<u>Action</u>	<u>Subject Area</u>
1. Advise and assist SECDEF and other DoD officials	.... Congressional aspects DoD policies, plans and programs.
2. Coordinate .....	DoD actions on legislation.
3. Coordinate development, clearance and furnishing	..... Information and witnesses in response to Congressional inquiries
4. Maintain liaison with.....	Congress, Executive Office of the President, and other Governmental agencies on DoD-Congress relations.
5. Coordinate .....	DoD-supported Congressional travel.
6. Provide for.....	DoD processing of Congressional security clearances.
7. "Issue instructions and one-time directive memoranda"	.... Above subjects
8. "Obtain such reports, information and assistance from Military Departments and other DoD offices ... as may be necessary"	.... Above subjects

TITLE: Control of Organization and Functions of Staffs at DoD Washington Headquarters

ISSUE: How should the organization and functions of staffs at DoD Headquarters be controlled?

BACKGROUND:

1. General

a. This analysis will describe how functions are now controlled by management control offices on the principal staffs at DoD Washington headquarters (OSD, OJCS, and the three military department headquarters). The current status of functional statements will be analyzed, using examples taken from the various staff organization and functions manuals.

b. Paragraph 2 discusses the importance of functional statements. Paragraph 3 identifies the offices controlling functions. Additional, or "outside," missions of these offices (which detract from the attention they give to elements at Washington headquarters) are summarized in Paragraph 4. Paragraphs 5 and 6 concern the current state of functional statements and organizational and functional surveys made of staffs.

c. The analysis will close with conclusions on actions required to

- (1) improve the contents of functional statements, and
- (2) insure they are observed.

Anticipated by-products of these actions would be to reduce staff size and improve the overall quality of management by the staffs.

d. Annex A provides more detailed information on the functions, policies and practices of offices controlling organization and functions of the staffs at DoD Washington Headquarters.

2. Importance of functional statements. The nature and magnitude of actions taken daily by a staff office determine its workload (manpower required) and its managerial role (relationship with higher and lower echelons). A particular action verb in the English language means different things to different people. "Administering" a particular field of responsibility, for example, may mean a policy formulation role to one staff officer and detailed involvement in operations to another. Because of this difficulty in defining the meaning of words, it is argue by some that functional statements for staff offices have little value. But clarity has to start somewhere, and it seems logical that the orders given to staff elements by a higher manager should reflect as clearly as possible the overall managerial role expected of those offices. Only if this condition of

mutual understanding of roles exists, can the manager (or his management control office representatives) determine if the nature of the work done by staff offices is appropriate and the distribution of available manpower is valid. In sum, a clear definition of the functioning of each staff element is an essential starting point. Only this way can routine, repetitive staff actions (operational functions) be identified as unauthorized and earmarked for elimination, or de-emphasis, or transfer to lower echelons. As will be seen, with rare exceptions, such clarity of staff functioning does not now exist.

3. Control Offices. Each of the nine major DoD staffs at Washington Headquarters is charged with staff supervision over the organization and function of the staff elements. Paragraph 4 will discuss "outside" functions these offices have (which makes their function control role difficult). Paragraph 5 discusses functional statements now existing.

4. Additional Control Office Missions. Many of the control offices have areas of responsibility extending far beyond the organization, manpower ceilings and functions of the Washington Headquarters staff:

a. OJCS. The control office in the Organization of the Joint Chiefs of Staff has worldwide organization and functions responsibilities, to include the headquarters of Unified and Specified Commands, and U.S. portions of UN, NATO and other international headquarters. In addition, Service roles and missions fall within the purview of this office, as well as training, education and military terminology responsibilities. The Chief of the control office estimates that only 5% of his total effort is devoted to the Organization of the Joint Chiefs of Staff part of his overall responsibilities.

a. Army Staff. The Army Staff control office is more focused on the Washington Headquarters. It has staff responsibility for organizational matters pertaining to about 1900 field extension spaces and partial responsibility for 3700 spaces in two subordinate command headquarters, as well as about 9000 spaces on the Army staff. However, about 50% (18 man-years per year) of the control office's total effort is devoted to organizational and management improvement problems of the Army Staff and 30% (9 man-years) to other Army Staff problems.

b. OPNAV (Navy Staff). The Navy control office has staff responsibility for 2,000 spaces. Only 10% at most (five man-years per year) of available control office effort is devoted to OPNAV (Navy Staff) because of other responsibilities such as surveillance of the missions and functions of sixteen subordinate headquarters.

d. Air Staff. The Air Staff control office has staff responsibility for organizational matters pertaining to about 16,000 field extension spaces, as well as the 7,000 spaces on the Air Staff. About nine management analysts are utilized for the 23,000 spaces.

e. Secretariats: Each of the three Service Secretariats (Army, Navy and Air Force) has a control office for Washington Headquarters organizational matters. These offices do not become involved to a significant degree beyond their Secretariats. That is, they do not attempt to monitor the control offices on the Service staffs.

f. OSD. The OSD control office is authorized also to "review and validate organizational arrangements and manning levels... of the organization of the Joint Chiefs of Staff." In practice, however, this control is not currently exercised.

## 5. Staff Functional Statements

a. Procedure. With the exception of the Army Staff, the heads of staff elements at Washington Headquarters write their own functional statements and negotiate them with their control office. The head of the staff or his deputy makes the final decisions after review. In the case of the Army Staff, the final approval level is the same, but functional statements are developed by about eight management analysts in the control office in consultation with the staff elements. These authors of functional statements are much fewer than the multitude of personnel writing functional statements under the system in effect prior to September 1969 in the Army Staff.

### b. Format Standardization

(1) The Army Staff has a standardized format for its functional statement. This is discussed in (3) - (5) below. The other staffs use varying formats, but often there is an action verb followed by the title of a system, activity or process. Many different actions are authorized. For example, the functional statements of five Air Staff elements selected at random contain these thirty-four different action verbs:

Action Verb	Policy & Evaluation Group	Civil Engrg. Program Division	Airlift Support Division	Military Affiliate Radio Sys. Branch	Aircraft & Missiles Division
Provides	X	X	X	X	X
Validates	X				
Performs	X				
Reviews	X		X		X
Coordinates	X			X	
Plans	X				
Recommends	X				X
Identifies	X				
Devises	X				
Maintains	X	X	X		

Action Verb	Policy & Evaluation Group	Civil Engrg. Program Division	Airlift Support Division	Military Affiliate Radio Sys. Branch	Aircraft & Missiles Divisions
Requests	X				
Monitors	X		X	X	
Establishes	X				X
Manages	X				
Serves	X				
Issues		X			
Develops		X			
Records		X			
Assists		X			
Assures		X			
Advises		X			
Prepares		X		X	
Acts		X			
Supports			X		
Evaluates			X		X
Analyzes			X		X
Screens				X	
Requisitions				X	
Controls				X	
Compiles				X	
Furnishes					X
Takes					X
Determines					X
Exercises					X

(2) The Policy and Evaluation Group used seven action verbs that none of the other four staff elements used. The same statement is true for the Civil Engineering Programs Division. The fourteen verbs were not used at all by the other three elements picked at random.

(3) The Army Staff in its centrally developed functional statements, uses a standard method to depict functioning. The actions involved in staff functioning are divided into five general classifications. For four of these there are standard statements of actions performed. Enclosure 1



contains these five definitions of functioning. Use of action verbs in the four standardized statements is limited to a total of nine verbs:

Action Verb	Basic General & Special Staff Functioning	Internal Management & Support Functioning	Monitorship Functioning
Develops	X		
Justifies	X		
Provides	X	X	
Monitors	X		X
Insures (corrective action is taken)	X		
Assists			X
Advises			X
Continues (monitorship)			X
Does not assume (primary staff action)			X

In describing operational functions (those not meeting the criteria of the other standardized functions), Army Staff management analysts are permitted to select the appropriate verbs to describe the detailed operational work being done. However, in practice most operational functions are described using a half dozen phrases (e.g., "developing detailed procedures," "exercising Staff supervision over execution thereof, "making, " "providing, " "processing" and "resolving day-to-day operational problems.")

(4) The Army Staff functional statements consist of three columns, each of which describes a certain aspect of the functioning.

(a) In column 1 the type of functioning is identified. If it involves a broad policy and broad objective setting role, the words "General Staff" ("Special Staff" if the Staff element belongs to a Special Staff Agency) are recorded. The acts of a General Staff officer are defined as broad policy and broad objective development and communication and follow-up thereon. Definitions are not repeated in functional statements.

(b) In Column 2, responsibility level is recorded. For example, if the Staff element is primary action on the subject for the entire Army Staff, the phrase "A Stf" (Army Staff level--the highest level) is recorded.

(c) In column 3, the subject matter addressed by the staff element is identified using one of 156 standard subjects. Parenthetical remarks are used to narrow the subject matter if the staff element is responsible for only part of a subject area.

(d) As a result of using this system, each function is a separate line entry in a staff element's functional statement. This facilitates identifying other staff elements addressing the same subject area. A "Christmas tree" or hierarchical display of these staff elements is possible, the top element of the hierarchy being the one staff element performing "General Staff" actions and having Army Staff ("A Stf") responsibility for the basic subject area, the next layer being elements with "Agency" responsibility, and so on.

(e) Operational functions are clearly identified by the term "Op" which appears in column 1 of the operational functional entry.

(5) In summary, Army Staff functions are centrally prepared and are in a standardized format with only a few fairly unambiguous action verbs used. The acts of a General Staff officer--really a definition of good management--are specified. Other DoD staffs at Washington headquarters have functional statements written by the various staff elements, with a very limited review and edit by control offices. A wide variety of action verbs are used, and the descriptions of subject areas addressed is not from a list of 156 standard subjects.

#### 7. Other Directives Specifying Functions

A random sampling of other directives revealed that many additional directives specify functions for staff officers. In OSD, for example, all principal civilian assistants to the Secretary of Defense can sign "DOD Instructions" (DODI) which supposedly are within policy in the "DOD Directives" (DODD) which the Secretary of Defense or his Deputy usually sign. The ASD's have taken a liberal interpretation of the strong actions authorized for their offices in DODD. They have assigned many operational functions to be Deputy Assistant Secretary level. In general, this undesirable situation exists throughout DoD Washington Headquarters. Of course, a solution is to order that approved functions may not be "elaborated" on in subsidiary directives and then enforce such a policy.

#### 8. Organization, Functions and Manpower Surveys

In general, in the nine DoD Washington headquarters staffs, organization, function and manpower surveys are conducted by the

management analysts from the control offices, to find if offices should reorganize or get more manpower. The Army Staff has conducted surveys on a cyclic basis covering all agencies of the Army Staff over a period of about three years. Basically, manpower "requirements" were determined primarily by measuring workload. The output of staffs, however, is primarily paperwork, and the quality of and necessity for paperwork is a subjective decision. Thus, the management analysts estimating manpower "requirements" has a difficult time.

## CONCLUSIONS:

1. Function statements of the staffs at DoD Washington Headquarters contains many operational functions. Most of this repetitive, narrow-scope functioning appears inappropriate for the high level of management involved and contrary to the policy of decentralization announced on several occasions by Secretary Laird.

2. Functional statements need to be made clearer and, for the management part of the staff, reflect a role of broad policy and broad policy development and follow-up thereon.

3. Functional statements should be standardized in terminology and format and prepared centrally by management analysts working for the head of the staff. (It might even be better if the control office on the next higher staff level wrote these functional statements).

4. Organization and manpower surveys should utilize the standardized functional statements and by assuming a "cut" and evaluating the relative importance of functions, determine the appropriate manning level for each function. This procedure should identify functions (especially operational functions) for elimination, de-emphasis or transfer with (or without) staff personnel to lower echelons.

5. To determine functional overlap or duplication (and the number of staff personnel to be transferred with functions) survey teams should extend their scope vertically through two or more staff levels.

6. The control office must be headed by a senior deputy located organizationally above all functional deputies. He must report to the head of the staff directly in order to be effective.

7. Staff size and management practices must also be controlled for control of functions to be effective.

## ANNEX A

### FUNCTIONS, POLICIES AND PRACTICES OF OFFICES CONTROLLING ORGANIZATION AND FUNCTIONS OF WASHINGTON HEADQUARTERS STAFFS

#### 1. Office Secretary of Defense

a. Control Office: Office of Director, Organizational and Management Planning in the Office, Assistant Secretary of Defense (Administration).

b. Control Office Organizational Functions: DoD Directive 5110.1, 11 July 1964:

(1) "Conduct research to provide timely and effective solutions to DoD management and organizational problems."

(2) "Develop long and short-range plans for managing and organizing the DoD in order to provide progressive and effective improvement in the accomplishment of DoD functions and duties."

(3) "Develop improved management practices within the DoD to achieve more efficient and economical operation and to eliminate unnecessary overlap of duplication of effort."

(4) "Review and validate organizational arrangements and manning levels of components of the Office of the Secretary of Defense and the Organization of the Joint Chiefs of Staff.

(5) Prepare presentations on organizational and management problems to be used within the DoD, and for the Executive Office of the President and the Congress.

c. Procedures: No procedures for changing OSD organization and functions have been published.

d. Policies: No policies for OSD organization and functions have been published.

e. Practice: The following information was obtained during a visit to the control office:

(1) The usual procedure followed by an Assistant Secretary of Defense desiring to change his organizational structure or functions is to propose changes through the control office to the SECDEF. The proposal is reviewed by the control office which makes recommendations through the ASD (ADMIN) to the SECDEF.

(2) The control office representatives said that the office also makes independent reviews of OSD organization and functions.

(3) OASD(A) is authorized to "review and validate organizational arrangements and manning levels . . . of the Organization of the Joint Chiefs of Staff." In practice, however, this control is not exercised.

2. Air Staff, Headquarters, U. S. Air Force

a. Control Office: Organization and Manpower Branch, Management Division, Office, Secretary of the Air Staff.

b. Control Office Organizational Functions: HQ, USAF Headquarters Pamphlet 21-1, 31 October 1967.

(1) Section II A1: "Develops or evaluates organizational concepts for application to the Air Staff and field extensions."

(2) Section II A2: "Formulates long-range organizational objectives and proposes near term actions to attain approved objectives."

(3) Section II A3: "Develops organizational plans and policy, and analyzes organizational changes submitted by the Air Staff and field extensions for inconsistency and duplication. Develops and directs publication of the Department of the Air Force Organization and Functions Chartbook (HP 20-1-1)."

(4) Section II A4: "Plans, develops and administers the manpower program for the Executive portion of the Department of the Air Force and field extensions and assists in its defense before review bodies."

(5) Section II A8: "Performs functional analyses of Air Staff organizations to delineate responsibilities between offices; recommends changes in organization and functions to provide for technological advances and shifts of program emphasis, and to promote decentralization of operating functions."

c. Procedures: HQ USAF Headquarters Operating Instruction 21-10, 12 August 1963.

(1) Para 4a: "Proposed changes in organizational structure of functional statements will include the following:

(1) A draft of the new or revised organizational chart and, as appropriate, a narrative statement of responsibilities, functions, and external relationships, and

(2) A brief narrative statement describing the conditions necessitating the change."

(2) Para 5b(2) (e): "Action verbs will be used, but verbs such as advises, analyzes, approves, develops, formulates, monitors, reviews, etc., will be qualified to the extent practicable to express why and how."

(3) Para 4b: "Changes...will be... approved by the Secretary of the Air Staff."

d. Policies: HQ USAF Headquarters Pamphlet 20-1-1, 1966.

(1) Page 4: "...eliminate functions which...become obsolete."

(2) Page 5: "...decisions should be made at the lowest level having subject matter responsibility and sufficient information to act; it means that all types of communications should be signed or approved at the lowest possible level."

(3) Page 30: "Any function which can be carried out more efficiently or just as efficiently in the field as in the Air Staff should be moved out to the field. However, if this is done with strings attached--by retaining some operating controls in the Staff, then demi-decentralization will be the unwanted result."

(4) Page 30: "As a rule of thumb, branches with ten or less people are inefficient and wasteful."



(5) Page 31: "Decentralization, ... is one of our key principles, but it is the desire of dedicated people who want to see a job done right which sometimes hinders the application of this concept."

e.Practices: Requests by the Air Staff and its field extensions for organizational changes are reviewed on a case-by-case basis. No reviews are conducted on a cyclic basis, but nine management analysts are occupied with the organizational problems of the 7000 Air Staff positions and 16,000 positions in field extensions of the Air Staff.

### 3. Office, Secretary of the Air Force

a. Control Office: Office of the Administrative Assistant

b. Control Office Organizational Functions: HQ USAF Headquarters Pamphlet 21-1, 31 October 1967.

Page 12: "The Administrative Assistant is responsible for ... administering the management, manpower staffing and organizational and functional programs."

c. Procedures: No procedures for changing the Air Secretariat organization and functions have been published (HQ Operating Instructions 21-10, 21 August 1963, directs that

"Proposed changes (in all elements at HQ USAF) will be submitted to Staff Management Division, Office, Secretary of the Air Staff." In actual practice this referral does not occur and the Office of the Administrative Assistant, at Secretariat level, handles such requests).

d. Policy: HQ USAF Headquarters Pamphlet 20-1-1, 1966. Organizational policies are identical to those described above for the Air Staff plus the additional policy stated below:

Page 26: "There will be a maximum decentralization of functional responsibilities to the Air Staff."

e. Practice: Similar to OSD (see above).

### 4. Army Staff, Headquarters, U. S. Army

a. Control Office: Staff Management Division in Office, Chief of Staff.

b. Control Office Organizational Functions: Chief of Staff Regulation 10-25, 4 March 1968 (Paragraph 5a(1)).

"Staff Management Division. The Chief is principal adviser to the VCofSA (Vice Chief of Staff, Army) and the SGS (Secretary of the General Staff) regarding Army Staff resources/management. Is responsible for...organization and functions, including surveys ... manpower management to include requirements/vouchers ...management improvement and training ... and performs management consultant services."

c. Procedures: Chief of Staff Memorandum 69-384, 4 September 1969.

NOTE: This directive instituted radical changes in the procedures for developing functional statements and in the format used for depicting functions. Key aspects are that functional statements for all Army Staff agencies are now written centrally by the Staff Management Division; action verbs for all types of functioning except "operational" are now in standardized type of functioning statements. Each approved function is listed separately and is divided into three parts (in three columns): (1) Type of functioning (action verbs in standardized statements), (2) Level of functioning (for whom the work is done), and (3) Subject areas addressed. The statement of each function is expressed in terms of one of 156 standard subjects, one of five types of functioning (actions), and one of four levels of responsibility.

(1) Paragraph 5a: "Staff Management Division (SMD), OCoSA utilizing the definitions at Enclosure 1 and the format at Enclosure 2, will:

(1) Review the functions of each agency ...

(2) In consultation with each agency, prepare the CSR (of its functions) in a standard format"

d. Policy: Chief of Staff Regulation 5-1, December 1969.

#### 6. Office, Chief of Naval Operations (OPNAV)

a. Control Office: Organizational Management Division (OP-0983) Office of the Assistant Vice Chief of Naval Operations/Director of Naval Administration.

b. Control Office for Organizational Functions

OPNAV Organization Manual (ONAV 09B-P1), 6 May 1968. For OPNAV

and shore (field) activities of the Department of the Navy. Page 09B-9:

(1) "...development of organizational policy including command, support, area coordination relationships..."

(2) "Reviews, evaluate and interprets organizational and management actions and proposals referred to CNO."

(3) "Reviews and evaluate the organization and management effectiveness of OPNAV, and develops appropriate recommendations."

(4) "Maintains the organization manuals for OPNAV and organizational charts and related data for Bureaus, Offices, Commands and shore (field) activities under the command of the CNO."

(5) "Advises and assists in the organizational and management aspects of manpower management."

(6) "Conducts, reviews and surveys of organizational components of OPNAV and activities based ashore concerning organizational and management matters."

(7) "Processes recommendations for the establishment, disestablishment and redesignation of shore (field) activities of the Department of the Navy..."

(8) "Maintains...lists of commands and units of the Operating Forces of the Navy...(and the) Catalog of Naval Shore Activities."

c. Procedures: The stated purpose of OPNAVINST 5430.18A, 29 April 1966 is "to assign responsibilities and establish standards with respect to the organization of the Office of the Chief of Naval Operations (OPNAV) and to establish procedures whereby changes thereto are proposed, approved and promulgated."

(1) Para 3: "The organization of OPNAV ... will be approved by the Vice Chief of Naval Operations, OP-09..."

(2) Para 5: "All requests for proposed organizational changes as defined above will be directed to OP-09B for appropriate review and staffing prior to submission to OP-09 for approval ... organizational proposals will be reviewed by OP-09B, circulated for comment among OPNAV offices, as appropriate, and submitted to OP-09 with recommendation for appropriate actions."

d. Policy: Enclosure 1 (Organizational Standards within OPNAV) to OPNAVINST 5430.18A, 29 April 1966.

(1) Para 1 of Enclosure: "A 'matrix' system is to be used for most OPNAV charters, so that the source, nature, and extent of responsibilities assigned to OPNAV officials involved in a given functional area can be more readily identified and related at each level in the organization. A standard set of symbols with definitions and a format will be used... The 'matrix' system will continue to state missions and functions ... in two parts of a charter, respectively entitled 'Mission' and 'Functions'. Functions should be numbered serially ... In the mission, describe the ultimate goal which the component is designed to accomplish ... less explicit language, avoiding the use of terms which are vague or which have multiple meanings."

(2) Discussion with a representative of the control office revealed that the matrix system described above was never developed to an acceptable form and therefore is not in use currently. It appears that the Navy at one time considered doing what the Army is now doing -- Standardize functional statements -- but the project "never got off the ground."

PROPOSED

NUMBER \_\_\_\_\_

DEPARTMENT OF DEFENSE DIRECTIVE

SUBJECT: Size, Organization and Functions of Staffs and Staff Support Activities

I. PURPOSE

The purpose of this directive is to provide policy on controlling the size, organization and functions of staffs and staff support activities at Department of Defense Washington Headquarters and lower headquarters, to include standardization of staff functional statements and job descriptions. The objective of this standardization is to clarify the roles of the various staff elements, particularly of those elements charged with the providing of broad policies and broad objectives and follow-up thereon. A related objective is to identify clearly any operational functions being performed by the staffs so that they may be analyzed and eliminated to the maximum extent feasible, thereby reducing staff size to a minimum.

II. DEFINITION

To clarify the difference between the mission of a manager and his staff and their functioning, the following definitions are provided:

- A. Mission. Specific or implied objectives/end-conditions to be attained by an organization in specified subject areas. (Associated with non-action verbs, as, "is responsible for" and "insures that"),
- B. Function(ing). The actions, often repetitive, taken by a manager or his staff in specified subject areas in order to fulfill the mission (attain objectives). (Associated with action verbs, as "develops and communicates broad policy and broad objectives," "monitors," "takes corrective action").

III. RESPONSIBILITIES AND FUNCTIONS

- A. Within the immediate Office of the Secretary of Defense, an individual designated by him will be responsible for insuring that the provisions of this Directive are carried out and that all headquarters management mechanisms function effectively at minimum cost in resources.
- B. Except for such matters as he believes appropriate for decision by a Deputy Secretary or The Secretary of Defense, the designated individual is authorized to make final decisions involving the

staff and staff support mechanisms (e.g., size, structure, practices, control mechanisms) of all staffs at Department of Defense Washington Headquarters and at one lower level. Field activities related to Staff functioning also are under his control. Decisions made by this designated individual will be obeyed promptly; submission of a reclama on his decision is not a sufficient basis for postponing implementation of his decision.

- C. The designated individual also is the proponent of this directive and any implementing Instructions.

#### IV. POLICIES

- A. Functional Statements Format. Functional statements of all DoD Washington Headquarters will be in standardized format, consisting of the following information in three columns for each subject area addressed:
1. Type of Functioning (One of the five types of functioning defined in Annex A will be identified by a code phrase).
  2. Level of Functioning (the hierarchial level of the office among all offices on the major staff working in the subject area will be identified by a number from 1 to 4).
  3. Subject area (the field of responsibility).
- B. Subject Lists. The subject areas referred to in A3 above will be from the list of standard subjects and subsubjects in Annex B.
- C. Preparation of Function Statements. Functional statements of staff offices at DoD Washington Headquarters will be written centrally, in consultation with the staff elements concerned.
- D. Local Functional Statements. Local functional statements "elaborating" on the standardized functional statements referred to above are prohibited. Instead, job descriptions, collectively, will be used to describe these details.
- E. Job Descriptions. Job descriptions of professionals will serve to further define the functions of a staff element. They will be made consistent with standardized functional statements. Appropriate extracts from the functional statement of the office concerned will be repeated exactly in job descriptions. Following each of these extracts will be a description of the related actions of the individual and the documents produced. Subjects and action verbs in job descriptions of professionals are limited to those action verbs related to the approved functional



statements of the office concerned, except to describe purely supervisory responsibilities over other personnel in the same office.

- F. Surveys. Organization and management surveys will be conducted at Washington Headquarters and, to eliminate overlap, of the staffs at subordinate headquarters. These surveys will determine the cost in man-years-per-year for each of the functions described in the standardized functional statements referred to above. In the survey reports, lower priority functions, particularly operational functions, will be recommended for elimination, de-emphasis or transfer to lower echelons. This will be done by assuming hypothetical manpower cuts of at least 20%. The designated individual referred to above may form composite survey teams as required.
- G. Staff and Field Relationships. Staff support (e.g., ADP support, strategic wargaming, transportation, civilian personnel support) for all staffs at Department of Defense Washington Headquarters (not including Defense Agencies) will be consolidated into a Department of Defense Staff Support Agency. The Director will report to the Secretary of Defense. Similarly, field commanders below Department of Defense Washington Headquarters will centralize control of Staff support activities for their headquarters. Except as specifically directed in U. S. Code, subordinate staff officers (e.g., Chief of Personnel) will not be "two-hatted" or have staff supervision over all or a portion of a field activity of any type. The purpose of this policy is to gain decentralization and staff objectivity. It does not preclude a Staff element monitoring correspondence with a particular subordinate field command to insure consistency and staff addressal of major problems.
- H. Size. For each major staff (e.g., Headquarters, Department of the Navy) and Staff support organizations, a ceiling will be established by an office at least one staff level above the staff involved. Heads of major staffs are expected to manage within prescribed personnel ceilings, transferring personnel spaces laterally within their prescribed ceilings as decisions are made to increase emphasis in certain subject areas and decrease emphasis corresponding in others. Not more frequently than once yearly, proposals to increase personnel ceilings may be submitted. Personnel authorized in manpower vouchers and authorization documents will not exceed the following ceilings:

Personnel Ceilings

	<u>Staff</u>	<u>Staff Support Agency</u>
Office Secretary of Defense	2000	1000
Joint Chiefs of Staff and Joint Staff	600	
Hq. Department of the Army	2000	
Hq. Department of the Navy	2000	
Hq. Department of the Air Force	2000	
Total	<u>8600</u>	<u>1000</u>

- I. Orders to Lower Staffs. 10 USC 136 specifies that "an Assistant Secretary (of Defense) may not issue an order to a military department unless the Secretary of Defense has specifically delegated that authority to him in writing..."

In this regard, no functional statement of an OSD Staff element will give blanket authority for that office to issue instructions and one-time directive-type memoranda to lower echelons in matters falling within assigned subject areas. Instead, DoD Directives and other directives will be used to promulgate the broad policies appropriate to OSD level staff actions. Tasking of staffs below OSD level will be controlled within OSD at a level above the functional assistants and will be minimized.

- J. Publication of Functions. This section pertains to directives promulgated by the staffs at DoD Washington Headquarters.
1. For each major element of a staff, there will be only one directive prescribing the functions of that major element and its subdivisions (e.g., only one DoD Directive will be used to specify the functions of the subdivisions of each major staff element of OSD). Supplemental Directives and Instructions will not be published. (See also 3 below)
  2.
    - a. A list of the subject areas for which that major element has level 1 responsibility (i.e., has primary action within the major staff), followed by
    - b. A separate section, in the format described in Section A above, for each significant subdivision of the staff element. (e.g., for a 30-man staff element of three branches, there would be one consolidated statement of functions).
  3. Functions will not be inserted in other type directives.
    - a. In directives involving repetitive actions for particular programs or subject areas, there will not be "Functions"

and "Authority" sections. Policies and definitive objectives (end-conditions to be attained) by lower echelons should be prescribed in these program and subject area directives, not staff functions. All staff procedures and actions on documents prescribed in these directives must be consistent with approved staff functions and not added operational functions.

- b. "Responsibilities" sections of directives involving non-repetitive short-term actions (e.g., memoranda) will not include inferences of continuing functional responsibility. Such directives assigning responsibilities for specific staff actions will contain the phrase: "Nothing in this directive changes approved staff functions. Unless operational functioning has been specifically authorized in an approved staff functional statement, any operational actions required will be performed by echelons below this level."

# STANDARDIZED FUNCTIONAL STATEMENTS OF STAFFS AT DEPARTMENT OF DEFENSE WASHINGTON HEADQUARTERS

## 1. General

To obtain clarity, consistency and conciseness in functional statements of staffs at DoD Washington Headquarters, and to highlight any operational functions for possible elimination, the statements of these staffs will be standardized in format and terminology. Furthermore, job descriptions will be standardized and cross-referenced to functional statements, thus providing additional information on the functioning of offices.

## 2. Format

Functional statements of offices will be written centrally. The statements will consist of information in three columns. Possible entries in each column are indicated below, followed by an example.

### FUNCTIONING

<u>Type</u>	<u>Level</u>	<u>Subject Area</u>
Basic	1	(1) Subject area from a list of standard subjects, and (2) For levels 2, 3, and 4, sub-subjects in parentheses.
Internal Staff Management	2	
Internal Staff Service	3	
Project Monitorship	4	
Operational		

### AN EXAMPLE OF OFFICES AT THREE LEVELS INVOLVED IN THE SAME SUBJECT AREA:

Basic	1	Force Requirements
Basic	2	Force Requirements (Logistic aspects)
Basic	3	Force Requirements (Logistics: Supply Units)
Basic	3	Force Requirements (Logistics: Maintenance Units)

The above example illustrates that subject areas narrow as the level of functioning (place in the staff hierarchy) drops (i. e., becomes 2, 3, or 4). Only one office on a major staff can have the Level 1 responsibility,

whereas there may be several offices at each of the lower levels. Each of these lower offices has a narrower area of responsibility. Standard subsubjects, enclosed in parentheses above, serve to define the area of responsibility for Levels 2-4. The list of standard subjects and subsubjects is contained in Annex B.

### 3. Code Phrases

The first column in all functional statements will describe the type of functioning of the staff office for each subject area addressed. For example, each office developing, advising on, justifying (including presentations to Congress), and communicating broad policies and broad objectives in all types of documents, for the organization applicable to that staff, will be considered as performing "Basic Staff Functioning". To avoid needless repetition in functional statements, only the code phrase "Basic" will appear in column 1 of the functional statements. Use of the code phrase "Basic" means that Basic Staff Functioning, as defined in Paragraph 6a below, applies. The entries in column 1 of functional statements will be restricted to one of the five code phrases shown below:

<u>Code Phrase</u>	<u>Type of Staff Functioning</u>	<u>Defined in Paragraph</u>	<u>Standardized Functioning</u>
Basic	Basic	6a	Yes
InterStfMgt	Internal Staff Management	6b	Yes
InterStfSvc	Internal Staff Service	6c	Yes
Proj Monitor	Project Monitorship	6d	Yes
Op	Operational	6e	No

### 4. Standardized Functioning

As indicated the last column above, the definitions of the first four types of functioning are standardized and will not be revised in individual functional statements or in job descriptions.

### 5. Operational Functions

A different situation exists with respect to operational functions because operational actions may vary so widely. Column 3 of functional statements for operational functions (after the subject and subsubject are listed) will include the action phrases necessary to describe the operational function being performed by that staff element. For example (operational phrases underlined):

## FUNCTIONING

<u>Type</u>	<u>Level</u>	<u>Subject Area</u>
Op	(No entries in this column for operational functioning)	Materiel Distribution (Secondary items) <u>(develops detailed procedures; exercises staff supervision over execution thereof)</u>
Op		Personnel Accounting <u>(collects data on personnel from several sources and maintains data bank).</u>
Op		Military Personnel Management (Individual Classification) <u>(makes decisions on flightstatus in individual cases).</u>

### 6. Definitions of Staff Functions

When one of the code phrases referred to in Paragraphs 2 and 3 above is recorded in a job description or in column 1 of a functional statement, the appropriate functioning defined below will be understood as applicable:

#### a. Basis Staff Functioning (Basic)

- (1) Develops, advises on, justifies and communicates broad, yet definitive, objectives (in plans, programs and budgets) and broad policies for the guidance and/or support of

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(Title of Organization applicable to the Staff)  
activities and designated other activities, in matters of such importance that transfer of the broad policy and broad objective formulation role to a lower staff level clearly could have a significant and adverse impact on the organization's basic missions.

- (2) Avoids involvement in detail by limiting subsequent staff involvement to the following actions:
  - (a) Monitors the promulgation of a more detailed objectives, policies, and procedures by lower staffs and monitors similar promulgation actions that should be taken by activities outside the organization. (Basically, this should



be an after-publication monitorship, not a preview of documents prepared at lower echelons prior to their publication).

- (b) Monitors attainment of these objectives and execution of these policies and procedures. (Basically, this monitorship should be by unscheduled spot checks of random samples, avoiding involvement in day-to-day operations).
- (c) When monitorship indicates objectives and management mechanisms (organization, policies, procedures, and performance) are inadequate, insures corrective action is taken, to include advice and assistance to lower echelons. (If a problem is identified, the staff officer should analyze and, if appropriate, change the objectives and the management mechanism which permitted the problem to develop. Field activities should be let alone to take the short-term actions necessary to resolve the immediate problem).

b. Internal Staff Management Functioning (Inter Mgt)

Provides essential internal management analysis and control over the staff itself, (e.g., staff organizational structure and size, committee management, review and analysis of movement toward objectives, staff decision-making procedures, reports control within the staff, staff action control).

c. Internal Staff Services Functioning (Inter Svc).

Provides essential internal staff services to the staff (e.g., security within the staff, staff records management, office services to the staff, staff training, administrative support of briefings and conferences).

d. Project Monitorship Functioning (Proj. Monitor)

In matters of great importance justifying an organizational monitoring element, monitors staff elements and other activities in systems, projects and processes that cut across basic functional alignments. The personnel monitored may include certain personnel assigned to other offices who (1) have been formally dedicated to work continuously

on the particular system, project, or process or (2) have been instructed to give its problems a high priority. When monitorship reveals that objectives, policies, or performance by personnel are inadequate, assists, advises, and continues monitorship until corrective action is taken by the staff elements assigned functional responsibilities in the area of interest, especially the staff element which has primary action in the matter of concern. With the possible exception of an overall objectives plan for the area of interest, does not have primary action on staff actions, but monitors staff actions initiated by the basic functional offices.

e. Operational Functioning (Op)

Operational Functioning extends beyond the Basic Staff Functioning role of broad policy and broad objective formulation and follow-up thereon. All staff functioning not within the scope of functioning defined in paragraphs a-d above is Operational Functioning.

- (1) Operational Functioning is characterized by involvement in detail, such as developing or repetitively executing detailed procedures.
- (2) Basic Staff Functioning differs from Operational Functioning in the actions taken when a problem is detected during the execution phase.
  - (a) The Operational Functioning activity (hopefully in a field command) focuses on the short-term actions required to restore the status-quo or at least give some early relief.
  - (b) The Basic Staff Functioning office performs the monitorship referred to in paragraphs 6a (2) (b) above. When the problem is detected, the office takes the actions necessary to preclude similar problems from recurring in the future; this crisis prevention management process is described in paragraph 4a (2) (c) above. Involvement in the short-term crisis management actions is avoided.

STANDARD LIST OF BASIC SUBJECTS AND SUB-SUBJECTS

1. General

Paragraphs 2 and 5 of Annex A describe the use of subjects and sub-subjects to define the field of responsibility of a particular staff element. This annex provides the standard list of basic subjects and sub-subjects to be used in unaltered form in Column 3 ("Subject Area") of functional statements, in job descriptions, and in categorizing decision thresholds. Paragraph 2 contains General Categories and the Basic Subject List. Paragraph 3 repeats paragraph 2, adding appropriate sub-subjects to further define each Basic Subject.

2. Basic Subject List a/

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3. Sub-subject List a/

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a/ To be prepared by the proponent of the DoD Directive using the lists currently in use by the Army Staff as a basis.

ARMY STAFF  
LIST OF  
BASIC SUBJECTS

AGENCY MODIFIERS

BASIC SUBJECTS

1. Comptroller

1. Cost Analysis
2. Audit
3. Management Improvement
4. Program/Budget Activities
5. Program/Budget: Operation  
Maintenance, Army
6. Entitlement
7. Finance Services
8. Payment and Examination
9. Contract Financing
10. Accounting
11. Progress and Statistical Reporting
12. Fiscal
13. Budget Formulation
14. Budget Review

2. Intelligence

1. Intelligence
2. Combat Intelligence
3. Strategic Intelligence
4. Counterintelligence
5. Communications Intelligence
6. Cryptology
7. Security
8. Environmental Sciences
9. Topography
10. Program/Budget: OMA:  
Intelligence Activities

3. Military Operations

1. Joint and Army Strategic Plans
2. Joint and Combined Operations
3. Force Requirements
4. Command and Control
5. Operational Readiness
6. Operational Priorities
7. Civil Emergency
8. Unconventional Warfare
9. Civil Affairs
10. Arms Control
11. Military Assistance
12. Foreign Internal Defense Policy
13. Psychological Operations
14. Politico-Military Affairs

Enclosure 7

#### 4. Personnel

1. Military Personnel Management
2. Civilian Personnel Management
3. Personnel Procurement
4. Personnel Distribution
5. Personnel Training
6. Personnel Accounting
7. Personnel Mobilization
8. Welfare and Morale
9. Nonappropriated funds
10. Safety
11. Prisoners of War
12. Casualties and Survivor Assistance
13. Military Appointments
14. Military Awards
15. Military Promotions
16. Officer Efficiency Reports
17. Military Separations
18. Retired Affairs
19. Program/Budget: Military Personnel,  
Army
20. Program/Budget: OMA: Training  
Activities
21. Program/Budget: OMA: Army-Wide  
Activities

#### 5. Logistics

1. Major Item Requirements
2. Secondary Item Requirements
3. Materiel Procurement
4. Materiel Production
5. Materiel Distribution
6. Materiel Maintenance
7. Facilities Requirements and  
Stationing
8. Operation and Maintenance of  
Facilities
9. International Logistics
10. Transportation
11. Military Construction
12. Family Housing
13. Real Estate
14. Cost Reduction
15. Program/Budget: OMA: Central  
Supply Activities
16. Program/Budget: OMA: Depot  
Materiel Maintenance and  
Supply Activities
17. Program/Budget: OMA: Base  
Operations
18. Program/Budget: Procurement  
Equipment and Missiles, Army
19. Program/Budget: Military  
Construction, Army
20. Program/Budget: Family Housing  
Management Account

5. Logistics (cont)

21. Program/Budget: Home Owners Assistance Fund
22. Program/Budget: Army Industrial Fund
23. Program/Budget: Army Stock Fund
24. Program/Budget: Military Assistance Program

6. Force Development

1. Force Structure Development
2. Materiel Life Cycle Management
3. Manpower Requirements
4. Manpower Utilization
5. Manpower Allocation
6. Unit Training
7. Combat Developments
8. Organization
9. Unit Mobilization
10. International Standardization
11. Program/Budget: OMA: Operating Forces
12. Joint and Army Field Doctrine

7. Research and Development

1. Research
2. Materiel Development
3. Test and Evaluation
4. International Research and Development
5. Program/Budget: Research Development, Test and Evaluation, Army

8. Reserve Components

9. Communications-Electronics

1. Tactical Communications
2. Command & Control Support Communications
3. Non-tactical Telecommunications
4. Radio Frequency Management
5. Audio-Visual
6. Program/Budget: OMA: Army-Wide Communications and Audio Visual Activities

10. Legal

1. Legal Assistance
2. Legislative Relief
3. Military Justice
4. Legal Records
5. Litigation
6. Contract Appeals
7. Patent; Trademark; and Copyright Law



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|-----------------------|---|
| 10. Legal (cont)      | <ul style="list-style-type: none"> <li>8. Procurement Law</li> <li>9. Regulatory Law</li> <li>10. International and Foreign Law</li> <li>11. Civilian Personnel Law</li> <li>12. Emergency Legislation</li> <li>13. Military Legal Affairs</li> </ul>   |
| 11. Inspector General | <ul style="list-style-type: none"> <li>1. Inspector General Activities</li> </ul>   |
| 12. Information       | <ul style="list-style-type: none"> <li>1. Information</li> </ul>  |
| 13. Military History  | <ul style="list-style-type: none"> <li>1. Military History</li> <li>2. Historical Properties</li> </ul>   |
| 14. Engineer          | <ul style="list-style-type: none"> <li>1. Civil Works</li> <li>2. Nuclear Power Systems</li> </ul>  |
| 15. Adjutant General  | <ul style="list-style-type: none"> <li>1. Paperwork Management</li> <li>2. Publications</li> <li>3. Postal Service</li> <li>4. Heraldry</li> <li>5. Classified Registry</li> <li>6. Bands</li> <li>7. Reserve Administration</li> <li>8. Officer Personnel Records</li> <li>9. Courier Service</li> <li>10. Library Services</li> </ul> |
| 16. Chaplains         | <ul style="list-style-type: none"> <li>1. Moral Welfare</li> <li>2. Religious Welfare</li> </ul>  |
| 17. Provost Marshal   | <ul style="list-style-type: none"> <li>1. Criminal Investigations</li> <li>2. Law Enforcement</li> <li>3. Apprehension</li> <li>4. Correction</li> </ul>  |
| 18. Support Services  | <ul style="list-style-type: none"> <li>1. Remains Disposition</li> <li>2. Materiel Disposal</li> <li>3. Personnel Support Services</li> <li>4. Program/Budget: GACF: Cemeterial Acty</li> <li>5. Cemetery Activities</li> <li>6. Headstone Activities</li> </ul>  |
| 19. Medical           | <ul style="list-style-type: none"> <li>1. Health Services</li> <li>2. Health Standards</li> <li>3. Program/Budget: OMA: Medical Activities</li> </ul>   |

20. National Guard

1. Program/Budget: National Guard Personnel, Army
2. Program/Budget: Operation and Maintenance, Army National Guard
3. Program/Budget: Military Construction, Army National Guard

21. Army Reserve

1. Program/Budget: Reserve Personnel Army
2. Program/Budget: OMA: Army Reserve and ROTC
3. Program/Budget: Military Construction, Army Reserve

22. Miscellaneous

1. ADP Management Information Systems
2. Surveillance, Target Acquisition and Night Observation
3. Contract Administration
4. Internal Services
5. Monitorship
6. Interservice and Interdepartmental Support
7. External Administrative Services
8. Internal Management

## DEPARTMENT OF DEFENSE DIRECTIVE

SUBJECT: Decision Thresholds of the Office of the Secretary of Defense

I. PURPOSE

Pursuant to the authority vested in the Secretary of Defense, this directive establishes decision thresholds of the Office of the Secretary of Defense.

II. APPLICABILITY

This directive applies to Department of Defense Washington Headquarters (the Office of the Secretary of Defense, the headquarters of the three Military Departments, and the Organization of Joint Chiefs of Staff) and, as specified, to the headquarters of Defense Agencies and subordinate commands.

III. DEFINITION

A decision threshold is defined as a general description of the division of authority (to make decisions in specified subject areas) between or among the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the headquarters of the Military Departments, Defense Agencies and subordinate commands.

IV. POLICY

- A. Standard Subjects. The decision thresholds will be categorized by subject in this directive. For this, a standard subject list will be used. This Basic Subject List will be the same one used for preparing functional statements (Annex B to DODD 17).
- B. Decision Thresholds. Section VI specifies decision thresholds.
- C. Exceptions to Policy. Exceptions to the decision thresholds specified in Section VI will be made only by the Secretary of Defense or the Secretary of Defense on a case-by-case basis. Heads of staff offices at a lower level are not authorized to approve exceptions to policy in Section VI.

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1/ The proposed DODD (Enclosure 6) referred to would specify a list of standard subjects similar to that now in use by the Army Staff. The Army Staff list is at Enclosure 7.

D. Basic OSD Role. Decision authority in those subject areas not specifically identified in approved functional statements of OSD staff elements is hereby fully decentralized to echelons below the OSD staff. For approved subject areas the basic OSD role is to provide broad policy and broad objective guidance, with involvement thereafter limited to spot checks as infrequently as feasible (Basic Staff Functioning as defined in DODD \_\_\_\_\_). Too many or too stringent policies are signs of over-management, since all policies in some way act to constrain subordinates (and cause apathy) as they strive to attain assigned objectives.

E. Guidelines for other decisions.

1. The list of decision thresholds in Section V cannot possibly describe all types of decisions in each subject area. The decision thresholds specified, however, do provide guidelines for decentralizing the making of other decisions. In general, decentralization of decision authority to lower echelons will be the watchword. Policies and objectives promulgated for the guidance of the Military Departments, Defense Agencies and subordinate commands should be as broad as feasible.
2. In some cases, staff offices at the Office of the Secretary of Defense level will make a fairly complete analysis in order to arrive at an overall allocation of resources to various claimants. In making the subsequent broad allocation of resources to the various claimants, the staff element at the Office of Secretary Defense level should not insist that the thought process in arriving at the allocation must be used during the execution phase. The various claimants for resources should be granted considerable discretion in deciding where they will delete requirements in order to comply with the overall resource allocation. The reason for this policy is that the managers closer to the field activities are more likely to have a complete knowledge necessary for detailed decisionmaking. Furthermore, since requirements often change with the passage of time, this decentralization of decisionmaking to lower echelons permits more rapid response to changing conditions.

V. RESPONSIBILITY

A. The Deputy Secretary of Defense will designate an individual

within his immediate office to be proponent of this Directive and with the function of acting as an agent of the Secretary of Defense as required to insure the implementation of the policy directed herein.

- B. This designated individual will serve as an ombudsman for all DoD personnel who believe the spirit of this directive is not reflected in actual staff actions at DoD Washington Headquarters. Comments may be addressed informally to this individual without regard to normal organizational channels.

## VI. DECISION THRESHOLDS

\* \* \* \* \*

### 5-11 Military Construction

- 5-11-1 Within overall dollar limits prescribed by OSD for each Military Department, Military Departments may decide which projects will be constructed, except that some projects involving support of another Military Department may be identified by OSD as mandatory.
- 5-11-2 Military Departments may initiate early design of high priority military construction projects anticipated to be well within anticipated overall dollar ceilings.
- 5-11-3 Military Departments may decide the most appropriate type of heating equipment, boilers and other engineering related equipment to be installed in facilities, including plants.
- 5-11-4 Military Departments have approval authority for minor construction projects up to the ceilings imposed by Congress (current 10 USC 2674 limit: \$200,000 using MCA funds and \$25,000 using O&M funds).

\* \* \* \* \*

### 5-12 Family Housing

- 5-12-1 Within overall dollar limits for family housing prescribed for each Military Department, Military Departments have authority to approve the design of family housing.

\* \* \* \* \*

5-18      Maintenance and Operation of Facilities

- 5-18-1      Within overall dollar limits prescribed by OSD for each Military Department, Military Departments have approval authority for all projects for repair of real property facilities.

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7-2      Materiel Development

- 7-2-1      OSD level review and decisions on contract definition, development and production of new major systems will be limited to systems problems which the Military Departments cannot resolve by mutual agreement and to systems involving costs exceeding the following:

         \$25 million RDT&E  
         \$100 million procurement

Military Departments will make decisions on contract definition, development and production for all new systems not falling within the categories described above. OSD review will avoid involvement in details of systems and will focus on these major issues: (1) precluding unwarranted duplication of systems, (2) system effectiveness, and (3) impact on other objectives (e.g., force structure, other systems, war reserves).



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